



Otago Polytechnic Council

BOARD PACK

for

Otago Polytechnic Council - Open

Friday, 1 November 2019

12:30 PM

Held at:

Puna Kawa

Level 2, Mason Centre
Otago Polytechnic
Forth Street
Dunedin

Version 1

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AGENDA



OTAGO POLYTECHNIC COUNCIL - OPEN

Name:	Otago Polytechnic Council
Date:	Friday, 1 November 2019
Time:	12:30 PM to 1:25 PM
Location:	Puna Kawa, Level 2, Mason Centre Otago Polytechnic Forth Street Dunedin
Board Members:	Kathy Grant (Chair), Bill Moran, Megan Potiki, Neil Barns, Paul Allison, Peter Coolbear, Jamie Adamson
Guests/Notes:	In Attendance: Jono Aldridge (Convenor, Staff Subcommittee), Jeanette Corson (Secretary to Council), Philip Cullen (Deputy Chief Executive Corporate Services), Megan Gibbons (Deputy Chief Executive, People and Performance), Barry Jordan, (Chair, NZIST Implementation Board), Janine Kapa (Deputy Chief Executive, Māori Development/Kaitohutohu, Phil Ker (Chief Executive), Nathan Laurie (Convenor, Student Council), Chris Morland (Deputy Chief Executive, Learner Experience)

1. PROCEDURAL

1.1 Apologies

1.2 Conflict of interest

Supporting Documents:

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1.3 Confirm Minutes

Supporting Documents:

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1.4 Matters Arising

2. REPORTS

2.1 Chair (verbal)

2.2 Chief Executive

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4. MATTERS FOR NOTING

4.1 Council Calendar

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4.4 Student Council Minutes

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4.5 Staff Subcommittee Minutes

Supporting Documents:

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5. CLOSE MEETING

5.1 Meeting Closed

Next meeting: Otago Polytechnic Council - Open - 7 Feb 2020, 12:30 PM

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM: CONFLICT OF INTEREST	
PURPOSE: Council members should declare any potential conflict (pecuniary or non-pecuniary) they may have regarding any item on the agenda, or in relation to any discussion during the meeting. These declarations will be recorded on a separate register as well as in the minutes. Attached is a register of Council members' interests. Any changes must be advised to the Secretary to Council.	
RECOMMENDATION For noting.	

INTERESTS REGISTER

Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Jamie ADAMSON	01-02-19	<ol style="list-style-type: none"> 1. Deloitte Limited (Partner) 2. Otago Museum Trust Board (Treasurer) 	<ol style="list-style-type: none"> 1. Potential supplier 2. Potential customer
Paul ALLISON	20-04-18	<ol style="list-style-type: none"> 1. Life Trustee – Halberg Disability Sport Foundation 2. Trustee – Winter Games NZ 3. Sports Commentator – NZME 4. Independent Director - University Bookshop (Otago) Ltd 5. Chair - Waitaki District Health Services Ltd 6. Chair – Waitaki District Health Services Trust 7. Independent Chair - Infinite Energy (design and installation of solar power) 8. South Island Regional Grants Committee – The Lion Foundation 9. Independent Contractor – The Lion Foundation 10. Independent Consultant - Impact Consulting 	<ol style="list-style-type: none"> 1 – 6 Nil 7 & 10 potential supplier 8 & 9 – potential funder
Neil BARNS	17-01-19	<ol style="list-style-type: none"> 1. Board Chair – Otago Polytechnic Auckland International Campus 2. Director/Shareholder Neil Barns Consulting Limited 3. Partner – Barns-Davis Orchard Partnerships 4. Commissioner, Whitireia and Weltec Polytechnics 5. Director - WelTec Enterprises Ltd 6. Director - LCB Management NZ Ltd 7. Director - IEM Ltd 	<ol style="list-style-type: none"> 1. OP is a 50% owner of the limited partnership and is impacted directly by its operations in Auckland 2. The Company provides consultancy services mainly to TEOs and government education agencies that OP also has dealings with. 3. Joint owner of an avocado orchard. Unlikely to involve OP directly although OP offers horticulture qualifications and training.
Peter COOLBEAR	16-11-16	<ol style="list-style-type: none"> 1. Co-owner and director: Coolbear Ltd - Information Management and Tertiary Education Consulting 2. Member, NZQA Consistency Review Panel 	

Kathy GRANT	04-10-19	<ol style="list-style-type: none"> 1. NZIST Establishment Board 2. Dunedin City Holdings Ltd (Deputy Chair) 3. Trustee of numerous private trusts 4. Dunedin City Treasury Limited (Deputy Chair) 5. SDHB (Commissioner) 6. Dunedin Stadium Property Limited <p>Spouse:</p> <ol style="list-style-type: none"> 1. Gallaway Cook Allan (Consultant) 2. Hazlett & Sons Limited (Chair) 3. South Link Health Services Limited (Director) 4. Warbirds Over Wanaka Community Trust (Board Member) 5. Warbirds Over Wanaka Limited (Director) 6. Warbirds Over Wanaka (2008) Limited (Director) 7. Warbirds Over Wanaka (2010) Limited (Director) 8. Leslie Groves Home & Hospital (Board Member) 9. Dunedin Diocesan Trust Board (Chair) 10. Trustee of numerous private trusts 	
Bill MORAN	04-10-19	<ol style="list-style-type: none"> 1. Director, Pioneer Energy 2. Chair and Director, Sport and Recreation New Zealand 3. Chair and Director, High Performance Sport New Zealand 4. Chair, Turn up the Music Trust 5. Chair, Three Lakes Cultural Trust 6. Director, Youthtown 7. Trustee, New Zealand Dementia Prevention Trust 8. Trustee, New Zealand Football Foundation 9. Trustee, Olive Leaf Centre Trust 10. Trustee, Community Trust South 11. Trustee, Parliamentary Education Trust 12. Advisory Trustee, School of Government, Victoria University of Wellington 13. Advisory Trustee, Play It Strange Trust 14. Director, Aspen Initiative New Zealand 15. Director, Worksafe New Zealand 	Nil

			Polytechnic
Megan POTIKI	26-06-17	<ol style="list-style-type: none"> 1. Member of Te Runanga o Ōtākou 2. Employee of the University of Otago 3. Director of Arataki Associates Ltd – contracting entity involved in a wide range of Māori education, health and business. 	<ol style="list-style-type: none"> 3. Potential supplier

COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM:	MINUTES
PURPOSE: The minutes of the open section of the meeting held on 4 October 2019 are attached.	
PRESENTED BY: Kathy Grant	
RECOMMENDATION That the minutes of the open section of the meeting held on 4 October 2019 be approved as a true and correct record.	

MINUTES (in Review)

OTAGO POLYTECHNIC COUNCIL - OPEN



Name:	Otago Polytechnic Council
Date:	Friday, 4 October 2019
Time:	1:15 PM to 2:30 PM
Location:	Puna Kawa, Level 2, Mason Centre Otago Polytechnic Forth Street Dunedin
Board Members:	Kathy Grant (Chair), Bill Moran, Neil Barns, Paul Allison, Peter Coolbear, Jamie Adamson
Apologies:	Megan Potiki
Guests/Notes:	In Attendance: Jeanette Corson (Secretary to Council), Philip Cullen (Deputy Chief Executive Corporate Services), Janine Kapa (Deputy Chief Executive, Māori Development/Kaitohutohu, Nathan Laurie (Convenor, Student Council), Oonagh McGirr (Deputy Chief Executive, Learning and Teaching Services), Elena McPhee (Otago Daily Times), .

1. PROCEDURAL

1.1 Apologies

Apologies had been received from Megan Potiki, Phil Ker, Megan Gibbons and Jono Aldridge.

RECOMMENDATION

That the apologies be accepted.

AGREED.

1.2 Conflict of interest

No conflicts were declared in relation to the open section of the agenda.

1.3 Confirm Minutes

Otago Polytechnic Council - Open 2 Aug 2019, the minutes were confirmed as presented.

1.4 Matters Arising

There were no matters arising from the minutes.

1.5 Action Item

2. REPORTS

2.1 Chair (verbal)

Mrs Grant commented on two staff events she had recently attended; the Spring Breakfast and the Long Service Dinner. She noted that the Long Service Dinner was an opportunity to acknowledge Mr Ker's 15 years' service to the Polytechnic.

2.2 Chief Executive

Philip Cullen presented the Chief Executive's report in Mr Ker's absence.

Sector Leadership

A separate paper detailed opportunities for OP to provide leadership in shaping NZIST. There was positive support for the reforms in general and the Polytechnic wished to communicate its unique sector approach to quality and organisational performance, including areas of innovative and sector leading practice.

Summarised Finance Report for the period ended 31 August 2019

A table provided an overview of the Polytechnic's 2019 financial performance, compared against the forecast with variances.

Key points:

- Net operating surplus favourable to forecast by \$414k
- Capex lower than forecast to date by a net \$802k
- EFTS enrolments unfavourable to YTD forecast by 5

Media Report

A report had been provided by Shane Gilchrist, Media Liaison.

External Liaison

Mr Ker had met with a range of individuals and groups since last reported.

RECOMMENDATION

That the Council receives the Chief Executive's report.

AGREED.

3. FOR DISCUSSION

3.1 Shaping NZIST - areas of potential leadership for OP

The paper had been prepared in the knowledge that Otago Polytechnic as a high performing and innovative institution has much to offer NZIST and further, has the potential to provide significant leadership of vocational education in New Zealand.

Mr Ker had outlined the importance of communicating the Polytechnic's unique sector approach to quality and to organisational performance through the Baldrige framework as well as identified areas of innovative and sector leading practice which OP could lead for NZIST; EduBits, iamcapable and Capable NZ. Mr Cullen added that papers would be prepared to better inform and assist NZIST in these areas. A succinct statement detailing the reasons for OP's success was also required.

4. POLICIES FOR APPROVAL

4.1 Policy for Approval

CP0003 Management Reporting of Contracts to Council had been reviewed by the Finance and Audit Committee and was recommended for approval with no substantive changes.

RECOMMENDATION

That the Council approves CP0003 Management Reporting of Contracts to Council.

AGREED.

5. FOR APPROVAL

5.1 Health, Safety and Wellbeing Commitment Statement

The Commitment Statement had been discussed by the Finance and Audit Committee the previous day. Mrs Grant proposed that the timing of the signing be deferred until there was further progress on action items arising from the audit of health and safety.

6. MATTERS FOR NOTING

6.1 Council Calendar

The Council calendar was noted.

6.2 Executive Leadership Team Interests Register

The Executive Leadership Team Interests Register was noted.

6.3 Academic Board Minutes

The minutes of the following Academic Board meetings were noted:

- 9 July
 - face to face
 - e'meeting
- 13 July – e'meeting
- 31 July - face to face
- 1 August – academic issues forum

6.4 Student Council Minutes

Nathan Laurie spoke to the minutes of the meetings held on 13 August and 10 September 2019.

6.5 Staff Subcommittee Minutes

The minutes of the Staff Subcommittee meeting held on 4 July, 1 August and 5 September were noted.

It was noted that there was lack of a quorum for the first two meetings. A process was underway to recruit further subcommittee members.

6.6 2020 Domestic Fees

Nathan Laurie spoke to a letter sent on behalf of OPISA. While OPISA had chosen not to speak against the recommendation, he was looking for an assurance that student services, and specifically library services, would benefit from the proposed fee increase.

Mr Cullen undertook that there would be no less expenditure in any areas. With regard to library services, he advised that currently \$40k was under-spent in the library budget and Chris Morland would make contact with Mr Laurie with a view to identifying those areas where existing library resources were under pressure.

Mrs Grant commented that given a range of increases in operating expenditure, the Council had no alternative but to accept the recommendation.

RECOMMENDATION

That the Council approves an increase of up to 2% in domestic fees.

AGREED.

7. CLOSE MEETING

7.1 Meeting Closed

Next meeting: Otago Polytechnic Council - Open - 1 Nov 2019, 12:30 PM

Signature: _____

Date: _____

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM: CHIEF EXECUTIVE'S REPORT	
PURPOSE: The Chief Executive's Report is attached.	
PRESENTED BY: Phil Ker	
RECOMMENDATION: That the Council receives the Chief Executive's report.	

CHIEF EXECUTIVE'S REPORT**Summarised Finance Report for the period ended 30 September 2019**

The following table provides an overview of Otago Polytechnic's 2019 financial performance to date and compares this against the forecast with variances.

September 2019	2019 Year to Date Actual	2019 Year to Date Forecast	Variance
	(\$000s)	(\$000s)	(\$000s)
Revenue	\$ 84,238	\$ 83,727	\$ 511
Expenditure	\$ 80,243	\$ 80,368	\$ 125
Net Surplus	\$ 3,995	\$ 3,359	\$ 636
Capital Expenditure	\$ 9,239	\$ 10,779	\$ 1,540
Employment Cost as a percentage of revenue	48.4%	48.5%	0.1%
Student Fees as a % of revenue	43.1%	43.1%	(0.0)%
Government Funding as a % of revenue	43.7%	43.6%	(0.1)%
Working Capital	40.6%	36.2%	4.4%
Cash In/Cash Out	112.4%	113.3%	(0.9)%
Net Monetary Assets (000's)	\$ (4,804)	\$ (4,847)	\$ 43
Debt / Equity Ratio	0.0%	0.0%	0.0%
EFTS	5,255.6	5,280.3	(24.7)

Key Points:

- The net operating surplus of \$3,995k is favourable to forecast by \$636k.
- Capex is lower than forecast to date by a net \$1,540k mainly due to reduced spending on building projects.
- EFTS enrolments at 5,256 unfavourable to YTD forecast by 25, this is mainly in the Managed Apprenticeships area, however we expect this to continue to pick up for the rest of the year.

Media Report

Attached is a report from Shane Gilchrist, Media Liaison

External Liaison

- Leeds Trinity University
- World Federation of Colleges and Polytechnics Board meeting via Zoom
- United Way fundraising breakfast
- Don Christie and Paul Stevens, Catalyst IT
- TANZ CE meeting, Wellington
- TANZ eCampus meeting, Wellington
- Guest Speaker, Singularity Conference, Sydney
- OPAIC Board meeting, Auckland

RECOMMENDATION

That the Council receives this report.

A handwritten signature in black ink, appearing to read 'P Ker', with a long horizontal line underneath it.

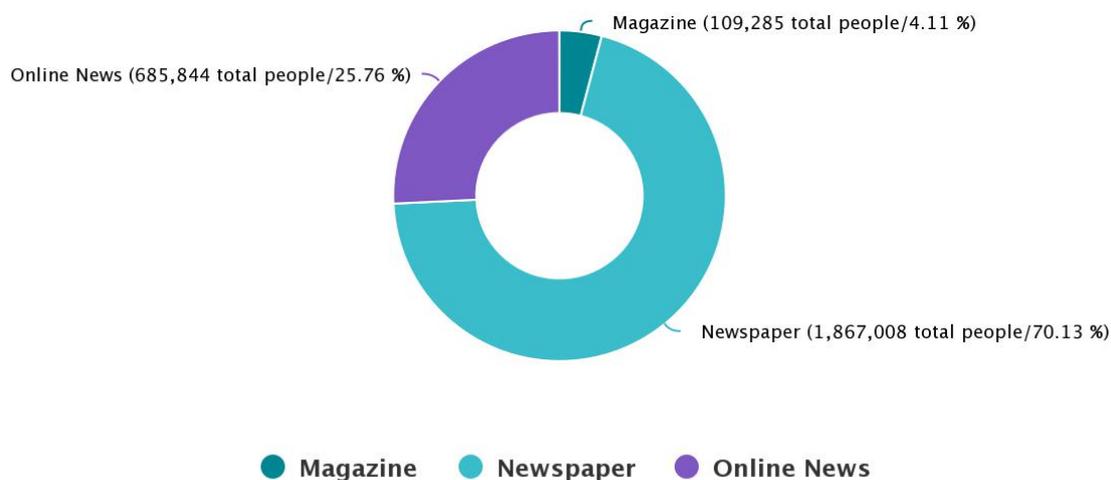
Phil Ker
Chief Executive



A summary of Otago Polytechnic external media activity, from 26 September-25 October 2019. Produced by Shane Gilchrist, Senior Communications Advisor.

- 240 news items
- Coverage reached a cumulative audience of 2.6 million
- Online News had the highest volume of coverage (178 items or 74% of the total volume of coverage)
- Newspapers reached the highest cumulative audience (1.8 million or 70% of the cumulative audience)

Media Type Breakdown – Audience



Although recent media coverage continues to cover aspects of the RoVE – in particular, the latest shape of the transition to NZIST – there has been a return to a broader range of articles covering Otago Polytechnic activities.

Examples include:

- Otago Polytechnic CEO Phil Ker leads two NZIST working groups
- Otago Polytechnic level 2 automotive mechanical engineering students have built an award-winning bathtub on wheels
- Otago Polytechnic graduate wins national women in construction award

- Maturing tastes behind (EduBits) cheese course

OP WEBSITE (NEWS AND EVENTS SECTION)

There were more than 4k page reads in the past 2 months. The overwhelming majority of readers spend nearly 2 minutes on our story pages.

SOCIAL MEDIA

Social Media activity and engagement across all channels continues to be strong, benefiting from our varied content and high-quality approach to video and photography. Facebook followers have grown 1.5% month on month, to 12.6k.

The most popular posts have been:

INSTAGRAM

2.7k followers; this continues upward trend of previous months.

LINKEDIN

Otago Polytechnic's main LinkedIn page now has more than 13.4k followers, reflecting strong growth on this channel.

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM: POLICIES FOR APPROVAL	
PURPOSE: The following policies have been reviewed by the Finance and Audit Committee and recommended to the Council for approval: <ul style="list-style-type: none">• CP0006.06 Council Honours Awards• CP0014.02 Internal Audit• CP0010.04 Fraud Prevention and Response• Fraud Control Plan• CP0015.00 Risk Management	
PRESENTED BY: Philip Cullen	
RECOMMENDATION: That the Council approves the revision of the above policies.	



OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0006.07
Title:	Council Honours Awards	
Classification:	Leadership	
Chief Executive Approval:	Effective Date: 5 October 2018	Review Date: 1 September 2019
Previous Policy No:	n/a	Status: Current
Contact Authority:	Secretary to Council	

Purpose The purpose of the policy is to regulate, guide and structure the process by which the Polytechnic confers Awards on persons of distinction in recognition of their extraordinary contribution to the Polytechnic and/or the wider community.

- Policy**
1. **The Awards**

Council, may confer awards as follows:

 - 1.1 Emeritus Professor;
 - 1.2 Honorary Member of Otago Polytechnic;
 - 1.3 Emeritus Member of Otago Polytechnic;
 - 1.4 Honorary degrees.
 2. **Process**
 - 2.1 Council shall establish an Honours Committee which will make recommendations to the Council as to the conferring of Awards.
 - 2.2 The Honours Committee shall have as members:
 - Chair of Council or nominee
 - Chief Executive or nominee
 - An appointee of the Chief Executive appropriate to the nominee under consideration for the conferring of a Council honour
 - the Convenor of the Staff Subcommittee of Council

The Chair or nominee shall chair all meetings of the Honours Committee.
 - 2.3 The Honours Committee shall consider nominations and make recommendations to the Council, under Council approved procedures and criteria, for the conferring of an Award consistent with the following criteria:
 - 2.3.1 Emeritus Professor

The award of the title Emeritus Professor may be granted to a retiring/retired professor who:

 - a. held the title of professor on retirement;
 - b. has made an outstanding/significant contribution to the life and well being of the Polytechnic over and above normal duties, or
 - c. has undertaken nationally or internationally respected quality teaching or research, or
 - d. has demonstrated innovative and strategically important leadership, or
 - e. has developed a dimension of the Polytechnic in a new way, or
 - f. has made a significant contribution on behalf of the Polytechnic to industry, business, and trades or professions on committees which the Polytechnic serves.



2.3.2 Honorary Member of Otago Polytechnic

The award of Honorary Member of the Otago Polytechnic may be granted to any person who:

- a. is not, nor has been a permanent employee of the Polytechnic, and
- b. has made an outstanding contribution to the leadership or wellbeing of the Polytechnic through Council, one of the Polytechnic committees, or a section of the Polytechnic, or
- c. has been a major benefactor to the Polytechnic, or
- d. has made a distinguished contribution to the Polytechnic as a visitor, or
- e. has developed a dimension of the Polytechnic in a new way.

2.3.3 Emeritus Member of the Otago Polytechnic

The award of Emeritus Member of the Otago Polytechnic may be granted to any person who:

- a. has been and is no longer a permanent employee of the Polytechnic, and
- b. has undertaken nationally or internationally respected quality teaching or research, or
- c. has demonstrated innovative and strategically important leadership, or
- d. has made an outstanding contribution to the life and well being of the Polytechnic over and above normal duties, or
- e. has developed a dimension of the Polytechnic in a new way, or
- f. has made a significant contribution on behalf of the Polytechnic to industry, business, and trades or professions on committees which the Polytechnic serves.

2.3.4 Honorary degrees

The award of an Honorary degree (from the Polytechnic's suite of degrees) may be granted to any person who:

- a. is not a current permanent employee of the Polytechnic nor a current member of the Council, and
- b. has made an outstanding professional contribution to the Polytechnic through the Council, one of the Polytechnic committees, or a section of the Polytechnic, or
- c. has made an outstanding contribution to the wider community.

3. Specific Procedures

- 3.1 All communications and enquiries about honorary awards should be addressed to the Chair or Chief Executive via the Secretary to Council.
- 3.2 Nominations for the award of Emeritus Professor are made to the Chief Executive who will bring the nomination to the Honours Committee.
- 3.3 Nominations for the conferring of an honorary award may be made by any two persons, one of whom shall be a member of the Council or Academic Board, and shall be made in confidence to the Chair or Chief Executive, who shall bring the nomination to the Honours Committee.
- 3.4 Each nomination shall be accompanied by a statement of the nominee's background in relation to the stated criteria for the award.
- 3.5 The Honours Committee shall consider nominations and make recommendations to the Council for the conferring of an award, and where appropriate the Chair will consult with the Executive Leadership Team.

- 3.6 Each honorary award shall be conferred by the Council with any such decision to be made by two thirds of Council members present and voting.
- 3.7 Any communication with proposed recipients of honorary qualifications or awards shall be conducted in confidence through the Office of the Chief Executive.
- 3.8 In exceptional circumstances the Council will have the authority to revoke any honorary award if deemed appropriate.
- 3.9 All honorary awards will be conferred on recipients at graduation ceremonies, or at another appropriate ceremony within three years of the award being approved by the Council.
- 3.10 Recipients of Awards will be entitled to:
 - a. use of the Polytechnic facilities generally through the office of the Chief Executive
 - b. use of the Polytechnic's library facilities
 - c. ongoing use of email facilities (former staff only)
 - d. in the case of Emeritus Professor use the title
 - e. in the case of Honorary degrees
 - wear the academic regalia for an honorary degree
 - use the award title using the following format Approved Degree Abbreviation (Honorary, Otago Polytechnic) e.g. MFA (Honorary, Otago Polytechnic)
- 3.11 The Honours Committee is responsible for considering nominations and for making recommendations to the Council for the granting of any honorary award. The Council shall take such recommendations into consideration when deciding whether to confer an honorary award.

Referral Documents

Appendix 1 – Council Honours list of recipients.

**Approved by Council
Date: 5 October 2018**



Appendix 1 Council Honours list of recipients

Emeritus Professor

Prof Khyla Russell – 2016

Emeritus Member of Otago Polytechnic

Ron McLeod – 2005

Rosemary Caulton – 2008

Dr Robin Day - 2011

Bridie Lonie – 2014

Dr Maxine Alterio - 2014

[Ali'itasi \(Tasi\) Lemalu - 2017](#)

[Dr Jane Malthus - 2019](#)

Honorary Degrees

Graham Crombie – Master of Design Enterprise - 2010

Margarita Robertson – Bachelor of Design (Fashion) - 2012

Huata Holmes – Master of Professional Practice - 2013

Michel Tuffery – Master of Fine Arts - 2014





OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0014.03
Title:	Internal Audit	
Classification:	Operations	
Chief Executive Approval:	Effective Date: 2 November 2018	Review Date: 1 October 2019
Previous Policy No:	n/a	Status: Current
Contact Authority:	Secretary to Council	

Purpose

To detail the nature, role, responsibility, status, scope and authority of Internal Audit work within Otago Polytechnic.

The role of Internal Audit at Otago Polytechnic is to assist the organisation to meet its objectives and to facilitate the leadership team and the council carrying out their responsibilities in relation to these matters. The key objectives of the Internal Audit process are to:

- provide an independent appraisal of the adequacy and effectiveness of the controls in place.
- identify and recommend measures to achieve greater effectiveness, efficiency and economy
- remedy practices that expose Otago Polytechnic to risk and vulnerability
- bring a systematic and disciplined approach to evaluating and improving the effectiveness of Otago Polytechnic risk management, and internal control processes.

Statutory Compliance

The Education Act 1989
Tertiary Funding Information - www.tec.govt.nz

Definitions

External Auditor refers to the organisation appointed by the Office of the Auditor General to conduct the statutory annual audit of Otago Polytechnic and to provide an opinion on its annual financial statements and statement of service performance.

Internal Auditor refers to the person or organisation appointed to conduct internal audits for Otago Polytechnic. This person or organisation may be internal to Otago Polytechnic or a contracted external party (or both).

Internal Audit refers to an instance of (or function of) auditing within Otago Polytechnic itself with respect to its internal processes and controls.

Policy

Accountability

1. The Internal Auditor reports to the Finance and Audit Committee (FAC) of Council and liaises with the Deputy Chief Executive Corporate Services

Responsibilities of the Finance and Audit Committee (FAC)

2. The FAC is responsible for the development, review, and monitoring of Internal Audit functions, policies, and procedures. This includes:
 - a. oversight of the Internal Audit function; and
 - b. setting the budget for Internal Audit; and
 - c. setting the Internal Audit work plan
 - d. recommending the appointment of the Internal Auditor and/or the use of internal resources to carry out internal audit work; and
 - e. receiving reports arising from Internal Audit activities; and
 - f. meeting with the Internal Auditor **independently of management** on an annual basis.



Responsibilities of Management

3. The Deputy Chief Executive Corporate Services is responsible for ensuring that the those carrying out the Internal Audit function have:
 - a. operational cooperation from staff throughout the organisation
 - b. access to staff and systems requested by internal audit
 - c. direct access and freedom to report to the Chief Executive
 - d. unrestricted and independent access to the FAC.

4. Management is responsible for maintaining internal controls, including setting appropriate policies and monitoring compliance with these, and maintaining proper accounting records and other appropriate management information that ensures effective stewardship of government funds as required by the Education Act 1989 and with reference to Tertiary Funding information www.tec.govt.nz

Procedures - Planning and Reporting

5. The Deputy Chief Executive Corporate Services, and the FAC will agree on a 23 year (reviewed annually) Internal Audit work plan setting out the recommended scope of its work in the period. The work plan should have due regard to the key areas identified within the risk assessment frame work in regard to internal control and include monitoring compliance with policies and procedures associated with the *Fraud Control Plan* and policy *CP0010 Fraud Prevention*, and an appropriate level of forensic audit.

6. The work plan will set the scope for each review, but will include:
 - a. reviewing systems established by management to ensure that major risks to the achievement of the organisation's objectives are being appropriately addressed by the controls inherent in these systems;
 - b. reviewing the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information;
 - c. review of cyber security with reference to policy *MP0343 Use and Security of Information Systems*;
 - d. review of health and safety policies (*MP0400 – MP0421 series as published on the Otago Polytechnic website*), procedures and compliance;
 - e. assessing compliance with policies, plans, procedures, laws and regulations that could have a significant impact on operations and reports;
 - f. reviewing the means of safeguarding assets and, as appropriate, verifying the existence of assets;
 - g. appraising the economy and efficiency with which resources are employed;
 - h. investigating and reporting on alleged violations of policies and procedures, errors, fraud, or misuse of Otago Polytechnic assets;
 - i. assessing internal control risks to the Polytechnic;
 - j. performing and reporting on follow-up reviews to determine the status of recommendations contained in reports.

7. The Internal Auditor will complete the reviews identified and agreed in the annual Internal Audit work plan and:
 - a. report in writing to the FAC and **Deputy Chief Executive Corporate Services** setting out the processes followed, the findings and key concerns and recommendations;
 - b. raise any serious concerns about unresolved issues relating to projects or the management team itself directly with the FAC Chair;
 - c. meet with the FAC **without Executive Leadership Team present**, at least annually;

- d. Formally update the organisational internal control risk assessment annually. The update will be informed by the outcomes of the Internal Audit plan projects and will focus on the risks identified to the organisation and strategies to mitigate these risks and improve operational effectiveness.

Referral Documents

CP0010 Fraud Prevention and Response
CP0010a Fraud Prevention and Response_ SOP/001_Fraud Control Plan

MP0343 Use and Security of Information Systems
MP0400 Occupational Health and Safety - Commitments and Responsibilities
MP0402 Health and Safety Induction and Training
MP0403 Hazard Management
MP0404 Accident, Incident and Occupational Illness Reporting
MP0405 First Aid
MP0406 Emergency Evacuation and Earthquakes
MP0407 Computer Health and Safety
MP0408 Protective Clothing and Equipment
MP0409 Vision Safety
MP0410 Employee Workplace Injury, Illness, Rehabilitation
MP0411 After Hours Safety, Security and Building Access
MP0412 Smokefree, Auahi Kore Policy
MP0414 Contractor Health and Safety
MP0417 Driving and Vehicle Safety
MP0421 Occupational Health Monitoring

Approved by Council

Date: 2 November 2018



OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0010.05
Title:	Fraud Prevention and Response	
Classification:	Operations	
Chief Executive Approval:	Effective Date: 2 November 2018	Review Date: 1 October 2019
Previous Policy No:	n/a	Status: Current
Contact Authority:	Secretary to Council	

Purpose

This policy seeks to ensure that the assets and reputation of Otago Polytechnic, its Council, and its staff are protected from fraudulent misconduct.

It also seeks to ensure responsibility and awareness amongst staff and Council by establishing an environment in which fraud concerns can be identified and readily addressed, and enable compliance with internal control systems that are designed to minimise the opportunity for fraudulent behaviour and provide guidance on how to effectively progress an allegation of fraud.

Whilst it is not possible to eliminate fraud, it is possible to significantly reduce opportunities for fraud through adoption of multiple aligned strategies and policies that address different aspects of the control environment where potential fraud risk exposure exists.

Statutory Compliance

Protected Disclosures Act 2000 and subsequent amendments - provides protection for the facilitation of disclosure and investigation of serious wrongdoing in or by an organisation, and protects the individual who reports allegations of serious wrongdoing. Persons who make disclosure under the Act are protected from dismissal or punishment, legal action, or disclosure of their own private information.

Refer Otago Polytechnic policy *CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing)* for advice on how a Protected Disclosure can be made.

Definitions

Otago Polytechnic's Director Business Services is the appointed Fraud Control Officer and is responsible for overseeing investigations of fraud related allegations. The Fraud Control Officer is also the central point of contact for reporting alleged fraud.

Fraud is defined as an act of dishonesty to gain an advantage. It includes theft, misuse of assets, and the alteration of financial or other records or any unauthorised act which results directly or indirectly in financial gain to the perpetrator or to a third party.

Fraud may involve, but is not limited to, the intentional:

- manipulation, falsification or alteration of data, records or documents;
- suppression or omission of the effects of transactions from records or documents;
- recording of transactions without substance;
- misapplication of accounting policies;
- misrepresentation in a financial report;
- misappropriation (theft) of assets;
- accepting or offering of bribes or inducements;
- disclosing of confidential information to third parties with a view to personal gain or gain for another person;
- presenting of false credentials or qualifications;
- knowingly submitting false timesheets, leave [applications forms](#) or expense

claims;

- theft of time e.g., by not entering leave in the leave management system or not working for the agreed length of time
- dishonest use of the Polytechnic's computers, vehicles, telephones, credit cards, taxi vouchers and other property or services;
- dishonest use of Polytechnic intellectual property;
- deception resulting in a loss to the Polytechnic from dishonesty, or avoiding or creating a liability for the Polytechnic;
- falsifying of invoices for goods and services;
- use of purchase ~~or orders~~ forms to gain a personal benefit;
- unlawful or unauthorised transfer, use or allocation of Polytechnic property and assets including moneys and/or funds held by or on trust for the Polytechnic;
- dishonest use of grant or research funds, or scholarships;
- improper disposal of assets;
- hacking into or interfering with the Polytechnic's computer system

Policy

1. This policy and associated Fraud Control Plan (*CP0010 Fraud Prevention and Response SOP/001_Fraud Control Plan*) applies to all Otago Polytechnic Council members, staff, contractors, learners, onsite personnel and people or third parties in a business relationship with Otago Polytechnic.
 - a. Otago Polytechnic will bring this policy to the attention of all staff at time of induction via People & Culture, and will ensure a copy of the policy is on the Otago Polytechnic website.
2. Otago Polytechnic is committed to the development and maintenance of best practices, processes and procedures to prevent and detect fraud, which demonstrate appropriate stewardship of assets.
3. Otago Polytechnic will not tolerate fraudulent activity, regards it as totally unacceptable, and will apply a principle of 'zero tolerance'.
4. Otago Polytechnic requires any allegation of theft or fraud to be subject to due process, equity and fairness.
5. All disclosures of dishonest or fraudulent practices will be treated seriously and investigated. All reported incidents of alleged fraud will be investigated fully and pursued through every means available. Appropriate restitution will be sought to ensure full recovery wherever possible and practicable. Appropriate disciplinary action will be taken and the appropriate authorities, including the police, advised under authorisation by the Chief Executive.
6. Otago Polytechnic will have ~~due~~ regard for the law and its insurance arrangements noting that its insurance parties will often seek recovery and may have differing criteria for recovery.
7. Each formal leader has responsibility for ensuring that appropriate controls are in place at all levels to ensure safeguards against fraudulent activity, and must take action to implement and maintain these controls.
8. Staff must be scrupulously fair and honest in their dealings with their employer, students, suppliers, contractors, other tertiary service providers and their fellow employees. They must take reasonable steps to safeguard Otago Polytechnic funds and assets against, fraud, waste, loss, unauthorised use and misappropriation.
9. Staff who may consider there are grounds for enquiry into fraudulent activity must advise their Formal Leader, or the Deputy Chief Executive, Corporate

Services, or the Director Business Services (Fraud Control Officer), immediately.

10. Otago Polytechnic recognises that alleged or actual instances of theft or fraud can affect the rights and reputation of the person or persons implicated. All matters related to the case shall remain strictly confidential with all written information kept secure. Should any person improperly disclose such confidential information that person will be in breach of this policy and may become the subject of disciplinary action as a consequence.
11. The Finance and Audit Committee of Council will be advised of all instances of fraud or alleged fraud on a monthly basis or sooner if appropriate.
12. Key risk areas are as defined in the Otago Polytechnic's risk matrix and are informed by regular fraud risk assessment every three years.
13. Otago Polytechnic will have an annual internal audit plan, considered and approved by the Finance and Audit Committee that is informed by the fraud risk assessment. Internal audit will be performed by a mix of staff and external contractors. Outcomes from internal audit will be reported to the Finance and Audit Committee.
14. Fraud risks are to be assessed regularly to ensure internal control procedures are reviewed as any business practice changes. To assist with fraud prevention and detection, Otago Polytechnic:
 - a. has an electronic hierarchy approvals system
 - b. uses data mining for irregular and suspicious transactions via contracted audit biennially
 - c. maintains a centralised contracts database
 - d. has segregation of duties
 - e. checks high level vendor expenditure
 - f. has vendor creation approval processes
 - g. undertakes fraud risk assessment
 - h. maintains fraud awareness training
15. As a public entity, Otago Polytechnic will be transparent in dealing with external entities, including the police, and will conduct the investigation in a fair, ~~objective businesslike~~ manner. Where legally able, Otago Polytechnic will disclose instances of proven fraud on inquiry.
16. Otago Polytechnic has an employment policy which seeks voluntary disclosure of past offences. Due consideration will be given to any potential employee who discloses past offences. Pre-employment screening is an effective means of preventing particular types of fraud, such as falsifying qualifications or employment history. It can also identify previous criminal convictions for offences of dishonesty. The Deputy Chief Executive People ~~and~~, Performance ~~and Development~~ and Formal Leaders or equivalent should consider all appropriate checks to conduct (including police and credit checks) having regard for the proposed appointment and the work area.

Referral Documents

Appendix 1 – Procedural guidelines

CP0010a_Fraud Prevention and Response_SOP/001_Fraud Control Plan

CP0009 Protected Disclosure of Serious Wrongdoing Policy (Whistleblowing)

MP0444 Resolving Performance Problems

MP1100 Intellectual Property (if applicable)

Learner Rights and Responsibilities (as published on the Otago Polytechnic website)

Approved by Council

Date: 2 November 2018



<http://creativecommons.org/licenses/by/3.0/nz/>

CP0010 Fraud Prevention and Response.doc

Appendix 1 Procedural Guidelines

1. In the event of an allegation of theft or fraud the manager concerned shall advise the Deputy Chief Executive Corporate Services, Director Business Services (Fraud Control Officer), or Chief Executive immediately. Appendix C within the Fraud Control Plan (*CP0010 Fraud Prevention and Response_SOP/001_Fraud Control Plan*) states the full reporting channels matrix.
2. The Fraud Control Officer will:
 - Decide to either immediately report the matter to the New Zealand Police, Audit NZ or other relevant parties under authorisation from the Chief Executive and/or proceed as outlined below.
 - a. Fully document any investigation.
 - b. Within 24 hours:
 - i. Record the details of the allegation, the person or persons allegedly involved, and the quantity and/or value or nature of the theft or fraud.
 - ii. Request a written statement from the person who has informed the manager, with details as to the nature of the theft or fraud, the time and circumstances in which this occurred, how the individual became aware of the matter and the quantity and/or value or nature of the theft.
 - c. On the basis of advice received, and after consultation, decide whether or not a prima facie case of theft or fraud exists and, if not, to document this decision and record that no further action is to be taken.
 - d. If a case is considered to exist, unless another course of action is more appropriate:
 - i. Inform the person in writing of the allegation that has been received and request a meeting with them at which their representative or representatives are invited to be present.
 - ii. Meet with the person who is the subject of the allegation of theft or fraud and their representatives to explain the complaint against them.
 - iii. Obtain a verbal or preferably a written response (all verbal responses must be recorded as minutes of that meeting, and the accuracy of those minutes should be attested by all persons present).
 - iv. Advise the person in writing of the processes to be involved from this point on.
 - e. Maintaining confidentiality is particularly important as the individual(s) allegedly involved will not normally be alerted to the process of gathering and assessing evidential information. This is also to protect the rights of the individual(s) involved.
 - f. All instances of fraud are to be recorded in the Fraud Register held at [Business Services Finance](#) and disclosed to the Finance and Audit Committee.



Fraud Control Plan

(November 2018)

In relation to policy **CP0010 Fraud Prevention and Response** the following plan should be followed.

Statement of Principle

Otago Polytechnic is entrusted by the community and government to protect our facilities, assets, revenues and expenditure.

We have a responsibility to guard against attempts by any person to gain – by deceit – money, assets, information or other inappropriate benefit or advantage. We believe that a Fraud Control Plan is a building block to an ethical and successful organisation.

Fraud prevention and control must be the responsibility of all staff and all levels of management, and not just selected people or departments within the Polytechnic.

Staff and Community Awareness and Involvement

It is important that Otago Polytechnic staff, students, external service providers and the community generally is not only aware of our initiatives to address fraud risk but also are able to play a part in the fraud management process.

This Otago Polytechnic Fraud Control Plan has been written to guide our staff and management in the education, prevention, detection, and response to fraud. In addition, we seek to promote a culture of honesty and integrity.

We believe that the Plan has a potentially broader readership than staff and management alone and by making this document available publicly we aim to demonstrate to the general community our commitment to addressing fraud.

While the Plan encourages staff and management to report fraud, and provides options, we also invite members of the public, including our students and external service providers, to do the same.

If you are not employed by Otago Polytechnic, but you suspect fraud that involves Otago Polytechnic in some way, please report your suspicions in accordance with section 3.5 of this document.

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1.0 Introduction

1.1. Commitment to fraud control

Otago Polytechnic ("the Polytechnic") recognises that it has a responsibility to develop, encourage and implement sound financial, legal and ethical decision-making and organisational practices.

This Fraud Control Plan (*CP0010a_Fraud Prevention and Response_SOP001_Fraud Control Plan*) represents the Polytechnic's commitment to effective fraud risk management and prevention. The desired outcome of this commitment is to minimise the potential for fraud against the Polytechnic whether by staff, students or persons external to the Polytechnic.

To maintain better practice in its fraud risk management practices, the Polytechnic is committed to the following:

- **Ensuring a consistent approach across all Departments** - the plan is to be applied uniformly. All Directors, Heads of School/College, Formal Leaders or equivalents are to have an understanding of the Fraud Control Plan content and the responsibilities allocated under the Plan;
- **Communication of Executive Leadership Team's strong commitment** - to ensure there is regular communication to all staff promoting compliance with the Fraud Control Plan and adherence to the Fraud Prevention Policy;
- **Accessibility to the Fraud Control Plan** - the Fraud Control Plan will be made accessible to all staff and will be available through the Polytechnic's website;
- **Regular review of the Fraud Control Plan** - the Polytechnic is committed to reviewing its Fraud Control Plan every two years to ensure that it remains up-to-date and relevant. Each review will entail:
 - consideration of the findings of the most recent Risk Assessments;
 - reviewing changes in the Polytechnic's operations and environment since the last review; and
 - developing a further two year programme for fraud control that will identify residual shortcomings in existing procedures.

1.2. Application of Fraud Control Plan

This Fraud Control Plan represents the Polytechnic's commitment to the management and prevention of fraud. It aims to draw together its fraud prevention and detection initiatives into one document. It forms part of the Polytechnic's Risk Management Framework and has three major components:

- **Prevention** - initiatives including education for awareness and promoting a culture of honesty and integrity to deter and minimise the opportunities for fraud;
- **Detection** - initiatives to detect fraud as soon as possible after it occurs; and
- **Response** - initiatives to deal with detected or suspected fraud.

For the purpose of this document the term "staff" refers to all council members, management, employees, consultants and contractors. The term "Polytechnic" includes teaching, learning, research, enabling and support activities. The desired outcome of this commitment is the elimination of fraud against the Polytechnic.

1.3. Definition of fraud

Fraud is defined as an act of dishonesty to gain an advantage. It includes theft, misuse of assets, the alteration or manipulation of financial or other records or any unauthorised act which results directly or indirectly in financial gain to the perpetrator or to a third party.

1.4. Examples of fraud

Fraud may involve, but is not limited to, the intentional:

- manipulation, falsification or alteration of data, records or documents;
- suppression or omission of the effects of transactions from records or documents;
- recording of transactions without substance;
- manipulation of accounting policies;
- misrepresentation in a financial report;
- misappropriation (theft) of assets;
- accepting or offering of bribes or inducements;
- disclosing of confidential information to third parties with a view to personal gain or gain for another person;
- presenting of false credentials or qualifications;

- submitting of false timesheets, leave ~~applications forms~~ or expense claims;
- theft of time e.g., by not entering leave in the leave management system or not working for the agreed length of time
- dishonest use of the Polytechnic's computers, vehicles, telephones, credit cards, taxi vouchers and other property or services;
- dishonest use of Polytechnic intellectual property;
- deception resulting in a loss to the Polytechnic that is dishonest, or avoiding or creating a liability for the Polytechnic;
- falsifying of invoices for goods and services;
- use of purchase ~~or orders forms~~ to gain a personal benefit;
- unlawful or unauthorised transfer, use or allocation of Polytechnic property and assets including moneys and/or funds held by or on trust for the Polytechnic;
- dishonest use of grant or research funds, or scholarships;
- improper disposal of assets;
- hacking into or interfering with the Polytechnic's computer system.

1.5. Statement of attitude to fraud

Fraud has the potential to damage the reputation of the Polytechnic and have a detrimental effect on the resources available to promote the Polytechnic's objectives. Accordingly, the Polytechnic has adopted a *zero tolerance* to fraud and will investigate all reported incidents of alleged fraud and appropriate restitution will be sought. The Polytechnic is committed to minimising the incidence of fraud through the development, implementation and regular review of fraud prevention, detection and response strategies.

Each strategy contributes to an environment where risk is managed, through sound internal controls, and ethical practices.

To achieve its fraud prevention objectives the Polytechnic will:

- identify fraud risks and review and update the Fraud Control Plan every two years;
- provide fraud awareness training to those staff who are considered to be in positions that require fraud awareness training;
- provide fraud awareness training to all new staff as part of the induction process;
- ensure all staff are aware of the Polytechnic's Fraud Control Plan;
- encourage and promote professional and ethical business practice;
- aim to identify fraud through regular review of the Polytechnic's operations;
- clearly communicate how suspected instances of fraud may be reported;
- through the channels authorised in this plan, investigate alleged or suspected instances of fraud using qualified personnel and professionals with experience in investigation techniques;
- take appropriate action to deal with instances of actual, suspected or alleged fraud, including by recommending prosecution of persons and/or organisations for fraud offences where and when appropriate; and
- use all available avenues to recover money or property lost through fraudulent activity.

2.0 Prevention

2.1 Integrity framework

A fundamental strategy in controlling the risk of fraud is the development and maintenance of a sound ethical culture, underpinned by effective and continuous communication and example-setting by management.

The Polytechnic's attitude to ethical conduct is outlined in its Values which describe the obligation for staff to act with integrity and be guided by:

- Caring: we are respectful, generous, welcoming and inclusive
- Responsibility: we do the right thing, acting in the best interests of those we serve
- Partnerships: we work and learn collaboratively, contributing to one another's success
- Learning: we are continually learning, developing and innovating
- Excellence: we set and achieve high standards, always doing our best
- Sustainability: we practice sustainably for the best of our communities and the environment

Otago Polytechnic managers are expected to create and promote an ethical workplace culture. They can best do this by ensuring that they themselves always act ethically and follow correct procedures. Management and staff need to work together to establish an ethical and effective workplace which can identify and implement fraud prevention and control measures.

2.2 Fraud control responsibilities

The Polytechnic's Director Business Services is the appointed Fraud Control Officer and is responsible for overseeing investigations of fraud related allegations. The Fraud Control Officer is also the central point of contact for reporting alleged fraud.

This Fraud Control Plan allocates the following groups with fraud control responsibilities:

- The Finance and Audit Committee
- The Fraud Control Officer (currently Director Business Services)
- The Deputy Chief Executive Corporate Services
- Deputy Chief Executive People and; Performance ~~and Development~~
- All Directors and Formal Leaders
- All staff

The specific responsibilities allocated within the Polytechnic, to the above groups, for fraud-related matters are summarised at Appendix B.

The Polytechnic has the following expectation of its staff with regard to fraud:

- Staff are expected to act in a professional and ethical manner, follow legal requirements, care for property, maintain and enhance the reputation of the Polytechnic.
- Staff are expected to remain vigilant to any suspected fraudulent behaviour that may be occurring around them and are expected to fully cooperate with any investigations and the implementation of fraud control strategies.
- Staff who become aware of suspected fraudulent conduct must report the matter in accordance with this plan.
- Staff must retain strict confidentiality on any Polytechnic fraud incidents of which they have knowledge.
- Managers must uphold and monitor fraud control strategies within their area of responsibility.
- Any failure by staff to comply with this plan may result in disciplinary action against them.

2.3 Fraud awareness training

Generally, a significant proportion of fraud goes undetected because of the inability to recognise the early warning signs of fraudulent activity or because individuals are unsure how and when and to whom they should report their suspicions. Accordingly, the Polytechnic has incorporated fraud awareness training to assist in raising the general level of awareness amongst staff.

An awareness of the risk of fraud and fraud control techniques will be fostered by:

- ensuring all staff receive notification of the Fraud Control Plan at the time of induction;
- ensuring all new staff receive fraud awareness training at induction
- ensuring all staff that are considered to be in positions requiring training attend fraud awareness training;
- ensuring updates and changes to fraud related policies and procedures and other ethical pronouncements are effectively communicated to all staff;
- ensuring staff are aware of the ways in which they can report allegations or concerns regarding alleged fraud or alleged unethical conduct; and
- encouraging staff to report any suspected incidents of fraud.

2.4 Assessing fraud risk

A Fraud Risk Assessment measures the vulnerability of an organisation to fraud and is essential for fraud prevention and control. The purpose of Fraud Risk Assessments conducted at a Functional level are to:

- define the fraud risk profile;
- determine the effectiveness of existing control measures and;
- enable judgements to be made on any required fraud counter-measures.

The Fraud Control Officer will be responsible for monitoring the implementation of the Fraud Risk Assessment programs and reporting progress to the Finance & Audit Committee ("FAC") and ensure that all timetabled strategies are implemented accordingly.

To maximise the effectiveness of the Fraud Risk Assessment process, the assessment should:

- be completed by a prioritised sample (with notations of *Low, Moderate and High* risk areas) of the functional areas, such as payables, payroll, reimbursements, credit cards, tendering purchasing and contract management processes, outsourced functions etc on a rotational basis;
- be relevant and comprehensive covering as far as possible, all potential risks;
- comply with AS 8001:2008- Fraud and Corruption Prevention;
- separately consider inherent risk and internal control risk; and
- achieve a prioritisation of fraud risks identified through a risk register.

Where fraud risk ratings are assessed as high for particular controls, strategies need to be put in place to address the risk.

The fraud risk assessment process does not replace existing manuals or procedures, but is additional and complementary.

All Departments will ensure that the strategies developed during the course of the most recent Fraud Risk Assessment are reviewed for effectiveness and amended where necessary. The frequency of such reviews is to be no less than three yearly with exact timing to be determined by the Fraud Control Officer.

It is the responsibility of the Fraud Control Officer in consultation with the relevant Departmental Managers to ensure that the proposed actions are implemented.

2.5 Internal Control

Internal controls are often the first line of defence against fraud. The Polytechnic will ensure the maintenance of a strong internal control system (refer 3.8) and the promotion and monitoring of a robust internal control culture. The Polytechnic will continue to review internal controls and ensure all key internal controls and policies (refer 5) are robust, regularly reviewed and are documented in a standardised format every two years.

The Polytechnic will promote an internal control culture through a process of:

- example-setting by management;
- regular communication of the importance of internal controls; and
- including adherence to internal controls as part of the performance management framework,
- implementing an approved internal audit plan with FAC oversight.

2.6 Employment screening

Otago Polytechnic has an employment policy which seeks voluntary disclosure of past offences. Due consideration will be given to any potential employee who discloses past offences. Pre-employment screening is an effective means of preventing particular types of fraud, such as falsifying qualifications or employment history. It can also identify previous criminal convictions for offences of dishonesty. The Director: People and Culture and Formal Leaders or equivalent should consider all appropriate checks to conduct (including police and credit checks) having regard for the proposed appointment and the work area.

2.7 Supplier vetting

The Polytechnic will take steps to ensure the bona fides of new suppliers and periodically confirm the bona fides of continuing suppliers.

Prior to a new supplier details (including bank account details) being loaded into the accounts payable system a suitable combination of the enquiries listed below will be undertaken:

- (a) Companies Office search;
- (b) Verification of the personal details of directors;
- (c) Telephone listing verification;
- (d) Trading address verification; and
- (e) Internet search.

2.8 Segregation of duties

This is a control plan whereby no person should be given responsibility for more than one related function. The person who approves invoices for payment should not be responsible for arranging the payment. An auditor should note situations where one individual's responsibility extends improperly over related areas, i.e., the person maintaining inventory records has physical possession of the

merchandise. Segregation of duties assists in detecting errors and deterring improper activities. The smaller the organization, the more difficult this practice becomes.

3.0 Detection

The Polytechnic recognises that a comprehensive fraud control plan remains one part of fraud control and that additional elements further mitigate or minimise the prevention of fraud. Accordingly the Polytechnic has adopted a program aimed at detecting fraud as soon as possible after it has occurred.

The key elements of this plan include:

- Management accounting report review;
- Data analysis programmes;
- Post transaction review;
- Identification of early warning signs; and
- Internal audit.

Otago Polytechnic's employees play an important role in detecting fraud because of their detailed knowledge of work practices and accountabilities. The alertness and participation of staff prevents and detects a significant amount of fraud and is an effective means of preventing particular types of activity.

3.1 Management accounting reporting review

Using relatively straightforward techniques in analysing the Polytechnic's management accounting reports, trends can be examined and investigated which may be indicative of fraudulent conduct. Some examples of the types of management accounting reports that can be utilised on a compare and contrast basis are:

- Financial reports detailing monthly performance against prior periods and budget;
- Key performance indicator reports and;
- Reports comparing expenditure against industry benchmarks.

3.2 Data analysis

Data analysis is a powerful means of detecting fraud and other improper behaviours. It is a process of uncovering patterns and relationships in datasets that on face value appear unrelated, highlighting activity of fraud and irregular behaviour, or to explain what lies behind previously identified discrepancies. For example, this might include such tests as searching accounts payable data for repeated invoice numbers to identify duplicate payments, or analysing payroll data for duplicate bank account numbers to uncover a 'ghost employee' payroll fraud.

The Fraud Control Officer is responsible for an annual review of the possible need for a data analysis program. A data analysis program is aimed at strategic use of computer systems in the identification of fraud indicators.

3.3 Post transaction review

A review of transactions after they have been processed can be effective in identifying fraudulent activity. Such a review may uncover altered or missing documentation, falsified or altered authorisation or inadequate documentary support. In addition to the possibility of detecting fraudulent transactions, such a strategy can also have a significant fraud prevention effect as the threat of detection may be enough to deter a person who might otherwise be motivated to engage in fraud.

In light of this, the Polytechnic has implemented a programme of post-transaction reviews with particular emphasis on data mining. This strategy will identify a targeted sample of transactions for review with a particular focus on authorisation, adherence to guidelines on expenditure, receipting, and missing documentation. This process will be conducted with direct reference to the findings of past internal control reviews and fraud risk assessments.

3.4 Identification of early warnings signs

Identification and acting on early warning signs of fraudulent activity is an important part of early fraud detection. The key to achieving an early warning capability is awareness. The fraud awareness training programme, referred to in Section 2.3 will therefore include the identification of early warning signs or "red flags" for suspected fraud and how to respond if they are identified.

All staff and all Formal Leaders in particular, should be aware of their responsibility to remain vigilant to identify and report any suspected fraudulent activity.

Managers and staff should be alert to the common signs of fraud. Signals for *potential* fraud include:

- illogical excuses and reasons for unusual events or actions;
- senior staff inappropriately involved in routine processes;
- staff evidently living beyond their means, who have access to funds or control or influence over service providers;
- excessive staff turnover;
- staff who do not take holidays for extended periods;
- potential conflicts of interest not declared;
- insufficient separation of duties (*e.g. both processing and approving the same transaction*) residing with one person;
- undue secrecy, or excluding people from available information;
- evidence of failure to conduct reference checks on staff prior to employment;
- unauthorised changes to systems or work practices;
- “blind approval,” where the person signing does not sight supporting documentation;
- duplicates only of invoices;
- theft of time.

3.5 Avenues for reporting suspected incidents

3.5.1 By staff

Staff who become aware of suspected fraudulent conduct are required to report the matter in accordance with this procedure. Staff are also required to maintain strict confidentiality on any suspected fraud matter of which they have knowledge.

- In the first instance, report the matter to their relevant line manager.
- If, for any reason, the staff member feels that reporting the incident through this channel would be inappropriate, he or she may report the matter directly to the Fraud Control Officer. Such reports may be made confidentially, if desired.

Any relevant line manager receiving a report of alleged fraud must advise the Fraud Control Officer immediately (subject to Appendix C).

The contact details for the Fraud Control Officer are as follows:

Email: louisa.homersham@op.ac.nz
Phone: 021941476

The Polytechnic will ensure all staff are aware of the fraud reporting procedures and actively encourage all staff to report suspected cases of fraud through the appropriate channels. Attached at Appendix C is a table that displays the appropriate reporting channels that should be adopted in the event of a person wanting to report any alleged fraud.

3.6 By external parties

Members of the public are to report any suspicions of fraud direct to the Fraud Control Officer via the above contact details.

3.7 Whistleblower protection

Staff who report suspected corrupt conduct through the appropriate channels, as set out above, will be protected from detrimental action by the *Protected Disclosures Act 2000*. This Act provides the framework for the protection of employees who report corrupt conduct.

Information received as a protected disclosure is strictly confidential, and includes the:

- identity of the person making the disclosure
- nature of the disclosure
- identity of the person or persons against whom the disclosure has been made.

The Polytechnic’s policy *CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing)* provides guidance on the procedure to be followed in making, receiving, dealing with and investigating information about serious wrongdoing in or by the Polytechnic.

The Polytechnic strives to meet or exceed best practice standards on whistleblower protection and will do the following:

- Require staff to act in good faith and reasonably in making reports under Whistleblower protection;
- Recognise and respect the confidentiality of the identity of a bona fide informant;
- Ensure support and protection is provided to an informant against any form of recrimination or reprisal or any threat of detriment.

3.7 Role of the external auditor in the detection of fraud

The Polytechnic recognises that the external audit function has a role to play in the detection of fraud given the responsibilities of auditors under ISA (NZ) 240: The Auditors' Responsibility relating to Fraud in an Audit of Financial Statements.

3.8 Role of internal audit in the detection of fraud

Although Otago Polytechnic has no dedicated internal audit service, it will have an annual internal audit plan, considered and approved by the FAC that is informed by the fraud risk assessment. Internal audit will be performed by a mix of finance staff and external contractors. Outcomes from the internal audit will be reported to the FAC.

4.0 Response

4.1 Investigation procedures

All instances of alleged fraud must be reported to the Fraud Control Officer, whether by the person making the allegation or by the Head of Department or relevant line manager receiving the initial complaint. The Fraud Control Officer will then be responsible for overseeing and managing the investigation process, in consultation with other members of an investigation team which shall comprise as a minimum those individuals holding the following positions:

- Deputy Chief Executive Corporate Services/Chief Operating Officer
- Director: People and Culture and;
- Other relevant senior executive managers e.g. Chief Executive / [Deputy Chief Executives](#)[Director Quality Services](#)

The team will follow the procedures as outlined in the policy CP0010 Fraud Prevention Policy this Fraud Control Plan and other related Polytechnic policies.

4.2 Reviewing systems and procedures (post fraud)

In each instance where fraud is detected, the Polytechnic will reassess the adequacy of the internal control environment (particularly those controls relating to the fraud incident and potentially allowing it to occur) and actively plan and implement improvements where required. Where improvements are required, they will be implemented as soon as practicable.

4.3 Recovery of money or property lost through fraud

The Polytechnic will actively pursue the recovery of any money or property lost through fraud after considering all relevant issues.

4.4 Communication protocol

Should fraud against the Polytechnic be detected the following protocols must be applied -

- The Fraud Control Officer, Chief Executive and Chairperson will make all decisions on the appropriate communications protocol to be adopted
- The Chief Executive or Chairperson or their nominee will be the authorised spokesperson for any matter.

5.0 Relationship with other Otago Polytechnic Policies

The Polytechnic has a number of policies which should be read in conjunction with this Fraud Control Plan. These policies include:

- CP0010 Fraud Prevention and Response
- CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing)
- CP0012 Conflict of Interest
- MP0444 Resolving Employment Problems
- MP0303 Authorities and Delegations from the Chief Executive
- MP0430 Employment Delegations
- MP0304 Specific Financial Authorities and Delegations
- MP0352 Otago Polytechnic Credit Cards

- MP0446 Travel on Otago Polytechnic Business
- CP0008 Sensitive Expenditure
- AP0602 Learner Discipline
- MP0362 Asset Management (Operational – Acquisition and Disposal)
- CP0013 Procurement and Purchasing Policy

Appendix A: Otago Polytechnic Fraud Control Plan – Overview Diagram

Otago Polytechnic Fraud Control Plan – Overview Diagram

1. Introduction

- 1.1 Commitment to fraud control
- 1.2 Application of Fraud Control Plan
- 1.3 Definition of fraud
- 1.4 Examples of fraud
- 1.5 Statement of attitude to fraud
- 1.6 Relationship with other Otago Polytechnic policies

2. Prevention

- 2.1 Integrity framework
- 2.2 Fraud control responsibilities
- 2.3 Fraud awareness training
- 2.4 Assessing fraud risk
- 2.5 Internal control
- 2.6 Employment screening
- 2.7 Supplier vetting
- 2.8 Segregation of duties

3. Detection

- 3.1 Management accounting reporting review
- 3.2 Data analysis
- 3.3 Post transaction review
- 3.4 Identification or early warning signs
- 3.5 Avenues for reporting suspected incidents
- 3.6 Whistleblower protection
- 3.7 Role of the external auditor
- 3.8 Role of Internal Audit

4. Response

- 4.1 Investigation procedures
- 4.2 Reviewing systems and procedures (post fraud)
- 4.3 Recovery of money or property lost through fraud
- 4.4 Communication protocol

5. Appendices

- | | | | |
|---|---------------------------------------|---|----------------------------|
| A | Fraud Control Plan – Overview diagram | D | Fraud Register |
| B | Fraud responsibilities | E | Receiving Allegations Form |
| C | Fraud Reporting Channels | | |

Appendix B: Otago Polytechnic Fraud Control Responsibilities

Role	Fraud Control Responsibilities
Finance and Audit Committee	<ul style="list-style-type: none"> The Finance and Audit Committee (FAC) is responsible for overseeing the process of developing and implementing the Fraud Control Plan. The FAC is required to assure itself, on behalf of the Council the action proposed by the Polytechnic appropriately addresses the fraud risks identified during the fraud risk assessments. In doing so it will consider the nature and timing of a program of internal audits (refer 3.8) to monitor key controls. The FAC will also review the reporting of the progress of reviews to determine whether appropriate fraud prevention and monitoring measures are in place.

Role	Fraud Control Responsibilities
Fraud Control Officer	<p>The Fraud Control Officer has principal responsibility for fraud control within the Polytechnic: This includes:</p> <ul style="list-style-type: none"> Developing an overall fraud control strategy for the Polytechnic, including operational arrangement for dealing with fraud; Building a programme of internal audit; Overseeing fraud awareness and control training; Overseeing the Polytechnic's fraud risk assessment process every two years; Overseeing the follow-up of the fraud risk assessment by ensuring that all timetabled mitigation strategies are implemented in accordance with the Fraud Control Plan; Facilitating a review of the Polytechnic's Fraud Control Plan every two years, or following any significant structural change to the Polytechnic; Reporting to the Finance and Audit Committee on fraud control initiatives undertaken by the Polytechnic; Ensuring that all fraud related policies and procedures are communicated and available to staff via the Polytechnic Intranet; Developing systems to prevent, detect and respond to fraud; Acting as a central referral point for allegations of incidents of fraud to be reported, including ensuring that all instances of suspected fraud are appropriately recorded, investigated, and reported to the FAC and satisfactorily resolved; Ensuring that the Chief Executive and the Finance and Audit Committee are briefed on allegations of suspected fraud; Investigating minor instances of fraud against the Polytechnic in consultation with the Deputy Chief Executive People, Performance and Development and Chief Operating Officer.

Role	Fraud Control Responsibilities
Deputy Chief Executive Corporate Services/Chief Operating Officer	<ul style="list-style-type: none"> Designing, implementing and overseeing a fraud detection program incorporating data analysis, management accounting reviews and post transition reviews; Designing and overseeing Fraud Risk Assessments; Reviewing the internal control environment after each detected occurrence of fraud; Reviewing annually the need for data analysis programs and consult with the Fraud Control Officer on proposed recommendations and timetables for same; Overseeing appropriate management accounting reporting and post transaction reviews.

CP0010_Fraud Prevention and Response_ SOP/001_Fraud Control Plan

Role	Fraud Control Responsibilities
Director: People and Culture	<ul style="list-style-type: none"> • Ensuring the Fraud Control Plan and Policy are incorporated in the Polytechnic's induction program; • Ensuring fraud awareness training is available to all relevant staff.

Role	Fraud Control Responsibilities
Formal Leaders	<p>Formal Leaders must be vigilant to the possibility of fraudulent behaviour and to respond accordingly. Formal Leaders are required to ensure that:</p> <ul style="list-style-type: none"> • Internal reviews are undertaken of their business areas on a regular or at least annual basis and that any significant changes in responsibilities and inherent fraud risks are reported to the Fraud Control Officer; • They inform new staff of the fraud prevention policies and procedures that are to be observed.

Role	Fraud Control Responsibilities
All Staff	<p>All Polytechnic staff shall:</p> <ul style="list-style-type: none"> • Promote professional and ethical practice by setting an appropriate example and recognising the contributions of others; • Not condone, or fail to take appropriate action in relation to, suspected fraudulent or improper conduct within the Polytechnic; • Assist in the implementation of fraud risk management strategies and participate fully in activities relating to fraud control; • Remain vigilant and report all instances of suspected fraud immediately to the Departmental Head, Line Manager or Fraud Control Officer where they hold any concern, suspicion, or information of any instance of fraudulent, corrupt or improper conduct and encourage others to do the same; • Not knowingly make a false or misleading report; • Not act in a retaliatory, discriminatory or otherwise adverse manner in regard to a person, on account of that person making a genuine report or providing assistance in a relevant inquiry; and • Not hinder or impede an investigation, and shall give every courtesy and assistance to any person authorised by management to conduct an investigation.

CP0010_Fraud Prevention and Response_ SOP/001_Fraud Control Plan

Appendix C: Otago Polytechnic Fraud Reporting Channels Matrix

If a staff member suspects fraud by:	They should report it to:	The means by which the allegation is investigated:
Another Employee	Their line manager (who must inform the Fraud Control Officer "FCO" immediately) or directly to the FCO	The FCO
The CE	The FCO (the FCO must then notify the Chair of the FAC)	The Chair of the FAC
The FCO	The CE (the CE must then notify the Chair of the FAC)	The CE
Contractor	The FCO	The FCO
Councillors	The CE (the CEO must then notify the Chair of the FAC)	The CE, in conjunction with Chair/Deputy Chair and external parties, as required

If a Councillor suspects fraud by:	They should report it to:	The means by which the allegation is investigated:
Another Councillor	Chair (the Chair must then notify the CE)	The CE, in conjunction with Chair and external parties, as required
Chair	The Deputy Chair (the Deputy Chair must then notify the CE)	The CE, in conjunction with Deputy Chair and external parties, as required
All other parties	Chair (the Board Chair must then notify the CE)	The investigation will be the same as specified in the employee section above and vary according to whom the suspected party is

If a Contractor suspects fraud by:	They should report it to:	The means by which the allegation is investigated:
Staff, Council member, other contractors	The FCO, CE or Chair	Depending on the party, the investigation will be managed as above

CP0010_Fraud Prevention and Response_ SOP/001_Fraud Control Plan

Appendix D: Otago Polytechnic Fraud Register (held at Finance)

	Date of notification or identification	Nature of the Instance	Estimated or Actual Value	Details of Investigation Undertaken	Outcome of Investigation	Policy or Procedures Amended as a Result

Part B

Details about evidence:

(Includes what evidence exists? Where is the evidence? Does the caller have any evidence? Who else has any evidence?)

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Details of others who may have information:

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Details of person making allegation (optional)

(If the person making the allegation would like to be contacted upon resolution of this matter, their contact details must be included in this section.)

Name:
Position and Location:
Address:
Telephone (home): (work):

How did the person become aware of the reported conduct or incident?

.....
.....
.....

Date and Time of Call:

Completed by: Date:



OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0015.01
Title:	Risk Management	
Classification:	Operations	
Chief Executive Approval:	Effective Date: 2 November 2018	Review Date: 1 October 2019
Previous Policy No:	n/a	Status: Current
Contact Authority:	Secretary to Council	

Purpose

Otago Polytechnic's vision for risk management is to have a culture in which risk is managed in an integrated manner that will enable the Polytechnic to:

- be recognised as having best practice management to achieve its strategic directions;
- improve decision making and enhance outcomes and accountability;
- achieve operational and financial goals;
- manage its risks responsibly and in a timely manner
- align to AS/NZS ISO 31000: 2009;
- ensure that risk management forms part of Otago Polytechnic's internal control and corporate governance arrangements.

The aim of this policy is not to eliminate risk, rather to manage the risks involved in all Otago Polytechnic activities to maximise opportunities and minimise adversity. Risk management also provides a system for the setting of priorities when there are competing demands on limited resources.

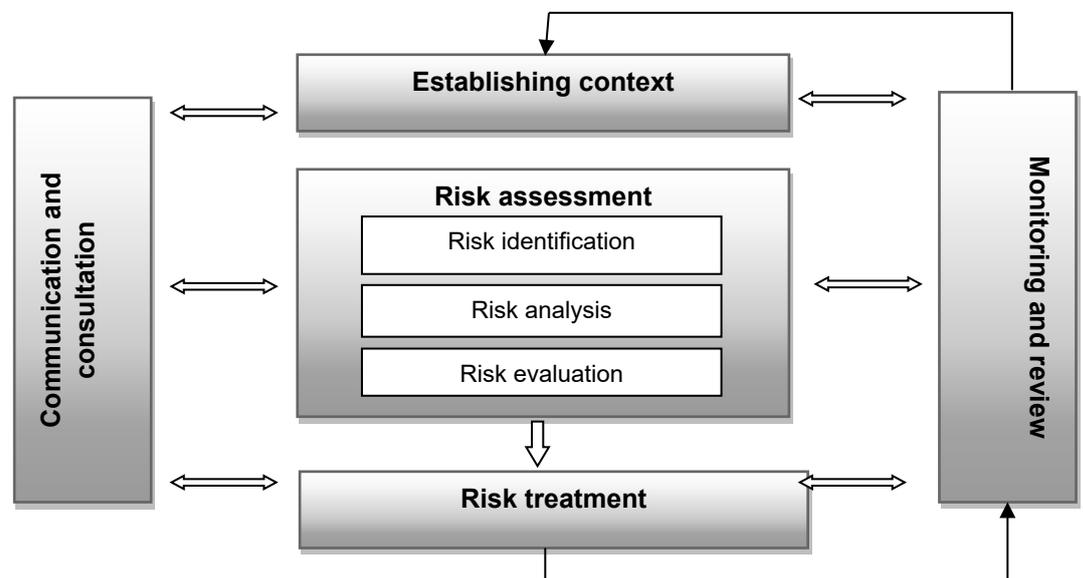
Definitions

Risk: "The effect of uncertainty on objectives". An effect is a deviation from the expected. Objectives can have different aspects (e.g. financial, health and safety, environmental) and can apply at different levels (strategic, organisation wide, project, product and process).

Risk is often expressed in terms of a combination of the consequences of an event and the associated likelihood of occurrence.

Risk Register: A documented record of each risk identified. It specifies a description of the risk, its causes and impact, an outline of the existing internal and external controls, an assessment of the consequences of the risk should it occur and the likelihood of the consequences occurring given the controls, a risk rating and an overall priority for the risk. It may also identify future actions or an action plan to remove, lessen or minimise the risk.

The Risk Management Process: based on ISO31000.



Policy

1. Risk Management is embedded into the fabric of the Polytechnic's activities. Risk management strategies are included in several different policies and procedures.
2. Otago Polytechnic has developed a risk management and compliance framework that determines the process and identifies tools for realising its objectives.
3. The framework scope is Polytechnic-wide; including any Trusts and subsidiaries that may exist. The framework is aligned with key Polytechnic strategic, operational and project plans; together with external demands which includes routine reporting through management reports. The framework will both inform and be informed by these Polytechnic planning documents and requirements.
4. The following key principles outline the Otago Polytechnic's approach to risk management:
 - 4.1. The identification and management of risk is linked to the achievement of the Polytechnic's strategic goals.
 - 4.2. Council is responsible for overseeing a sound system of internal control that supports the achievement of its Strategic and Investment Plans.
 - 4.3. The Polytechnic makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks.
 - 4.4. Review procedures cover reputational, strategic, operational, compliance and financial risk.
 - 4.5. Risk assessment and internal control are embedded in ongoing operations; business as usual.
 - 4.6. The Chief Executive, Executive Leadership Team, Heads of School/College and ~~Directors~~~~Managers of Service Areas~~ are responsible for encouraging and implementing good risk management practice.
 - 4.7. Council will review each year the risk management policy and the risk management framework which includes the risk evaluation criteria and reporting processes.
 - 4.8. All Polytechnic employees have a role to play in the identification and management of risk and are provided with appropriate knowledge to identify, manage and monitor risk.
5. **Responsibility for Risk Management**
 - 5.1. **General:** Every employee of Otago Polytechnic is responsible for the effective management of risk, including the identification and reporting of potential risks. Management is responsible for the development of risk mitigation plans and the implementation of risk reduction strategies including those regulated by statute (e.g. the Health and Safety in Employment Act 1992). Risk management processes should be integrated with other planning processes and management activities.
 - 5.2. **Council:** has governance responsibility for risk management at the Polytechnic. This includes ensuring the integrity and transparency of risk management and risk reporting at the Polytechnic, providing direction for the Polytechnic's risk management and ensuring that appropriate risk mitigation activities are functioning effectively. This includes but is not limited to:
 - a. Reviewing disaster management and business continuity activities.
 - b. Monitoring the robustness of the risk management systems, processes and practices.
 - c. Reviewing the governance strategic risk register.
 - d. Considering the robustness of mechanisms adopted by management to mitigate key risks.
 - e. Referring financial risks, as appropriate, to the Finance and Audit Committee for its consideration.

- f. Annual review of the risk management policy and the risk management framework (including the risk evaluation criteria and reporting processes).

5.3. **Finance & Audit Committee:** As part of its role has oversight of financial risk management at the Polytechnic.

5.4. **Chief Executive:** is accountable for ensuring a risk management system is established, implemented and maintained in accordance with the policy.

5.4.5.5. **Executive Leadership Team:** members are accountable for strategic and operational risk assessment, management, monitoring and reporting areas under their control, including the devolution of the risk management process to operational managers.

5.5.5.6. **Specific Managerial Roles:**

- a. The Deputy Chief Executive Corporate Services, will develop and promote risk management within the Polytechnic, and is responsible for the implementation of this policy, maintaining a programme for risk assessment and compiling the governance strategic risk register.
- b. The Deputy Chief Executive Corporate Services, will be accountable for the prudent recognition, disclosure and management of financial, payroll and insurance portfolio risks, and will be responsible for providing high quality financial information to senior managers who are responsible for assessing risks in particular contexts.
- c. The Director People and Culture will be accountable for the prudent recognition disclosure and management of occupational health and safety risks and; employment risks, ~~and payroll risks.~~
- d. The Chief Information Officer will be accountable for the prudent recognition, disclosure and management of risks associated with the Polytechnic's information technology, computing systems, plant, buildings, maintenance, building programmes, and use of rooms and physical resources.
- e. Respective members of the Executive Leadership Team will be accountable for the prudent recognition disclosure and management of risks in their areas of responsibility, particularly of those areas that are peculiar to their areas of responsibility, such as School/College specific academic matters, employment and structural matters, Treaty of Waitangi, and equity risks.
- f. All other Directors are accountable for the timely and proactive provision of information to allow those responsible for recognising and disclosing risk in particular areas to carry out this task in the most informed way possible.

f.g.
5.6.5.7. **Business Services Finance, Heads of School/College and Directors**

Heads of School/College and Directors need to familiarise themselves with this policy so that they can:

- a. Understand and implement the policy on risk management within their respective areas of responsibility.
 - b. Ensure compliance with risk assessment procedures such as the Internal Audit Programme.
 - c. Embed risk management activities as part of their everyday activities.
6. A governance strategic risk register has been developed and will be reviewed and reported on monthly by portfolio owners and members of the Executive Leadership Team and considered by the Chief Executive and Council.

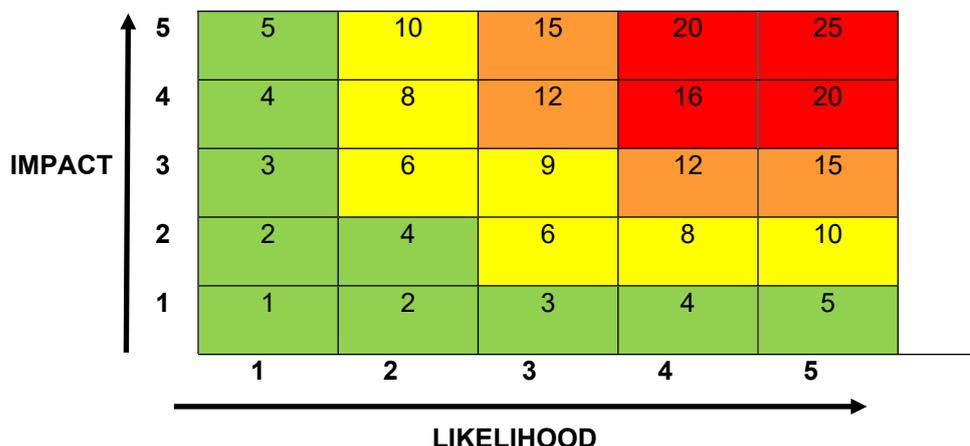
- 6.1. In addition, a financial risk register will be completed by the Deputy Chief Executive Corporate Services, and will be reviewed monthly by the Finance and Audit Committee.
7. The Polytechnic will assess risk based on how impact (or consequence) and likelihood ratings apply to each risk. Impact and likelihood are numerically rated from 1-5 as per the following tables.

Likelihood				
Rating	Definitions			
1	Very Low	Very unlikely	Rare, might occur only in exceptional circumstances	Once every 5 years
2	Low	Unlikely	Could occur at some time but doubtful	Once a year
3	Medium	Possible	Might occur at some time	Once a month
4	High	Probable	Will probably occur in some circumstances	Once a week
5	Very High	Definite	expected to occur in most circumstances	Every day

Impact								
Rating	Definitions							
	Description	Description	Financial	Operational / Capability	Learning & Teaching	Research & Business Development	Student Experience	Community Engagement
1	Very Low	Insignificant	less than \$10k	Negligible delay/impact to core or support activities	Negligible impact on Learning & Teaching activity and outcomes	Negligible impact on research activity	Minimal impact on meeting student demands and expectations	Negligible impact on community engagement and participation
2	Low	Minor	Cost \$10k to \$50k	Minor delay/impact to core or support activities	Minor impact on Learning & Teaching activity and outcomes	Minor impact on research activity	Minor inability to meet student demands and expectations	Minor impact on community engagement and participation
3	Medium	Moderate	Cost \$50k to \$250k	Minor delay/impact to core or support activities over a sustained period	Minor impact on Learning & Teaching activity and outcomes over a sustained period	Minor impact on research activity over a sustained period	Significant inability to meet student demands and expectations	Significant impact on community engagement and participation
4	High	Critical	Cost \$250k to \$1 million	Major delay/impact to core or support activities over a sustained period	Major impact on Learning & Teaching activity and outcomes over a sustained period	Major impact on research activity over a sustained period	Serious failure to meet student demands and expectations	Serious impairment to community engagement and participation
5	Very High	Excessive	Cost over \$1 million	Unable to participate in core activities for a sustained period	Serious impairment to Learning & Teaching activities and outcomes	Serious impairment to research activities	Complete failure to meet student demands and expectations	Serious brand damage

8. An overall risk rating (Risk Factor RF) will be calculated by multiplying impact rating by likelihood rating. Overall risk ratings are then categorised as low, medium, high or very high as per the following table.

Risk Factor (RF)



9. Actions taken will depend on the overall risk rating and need to be in accordance with the risk evaluation table (e.g. very high rated risks require immediate action and low rated risks require noting only).

9.

Risk Evaluation table

Risk Rating	Description	Action
16 to 25	Very High Risks	Immediate action to reduce risk if possible – detailed action plan required
11 to 15	High Risks	Needs Regular Monitoring
6 to 10	Medium Risk	Review where necessary
1 to 5	Low Risk	Note

10. The Risk Register will include actions to manage the risk through elimination or actions to lesson or minimise the risk where elimination isn't possible.

Referral Documents

CP0007 Legislative Compliance
 CP0008 Sensitive Expenditure
 CP0010 Fraud Prevention and Response
 CP0010a Fraud Prevention and Rseponse_SOP001_Fraud Control Plan
 CP0014 Internal Audit
 Risk Matrix Template

Approved by Chair of Council

Date: 2 November 2018



Appendix 1: Example ~~Governance Risk Matrix~~ Strategic Risk Register

Otago Polytechnic Governance Risk Matrix Framework						
Risk Element	Impact (I)	Likelihood (L)	Responsibility	Risk Factor (I) x (L)	Risk Factor Last Month	Mitigations
GOAL ONE: ACHIEVE EXCELLENT OUTCOMES FOR OUR LEARNERS						
Failure to maintain quality in teaching and learning leading to a downgrade of our NZQA quality status to category 2.	3	3	Oonagh McGirr	9	9	Annual quality review of all programmes and services. Action plans required for all areas falling below quality targets.
Failure to maintain research capability and output, for degree and postgraduate programmes leading to loss of accreditation.	2	1	Oonagh McGirr	2	2	All degree programme teams require a research plan updated annually and all academics teaching on degrees/post graduate required to have an individual research plan. Plan is monitored by research director for team plans and head of college/school for individual plans.
Failure to meet TEC KPI's for Educational Outcomes leading to reputational harm.	3	1	Megan Gibbons and Heads of Schools	3	3	Action plans required for all programmes falling below EPI targets.
Failure to maintain strong Governance and Executive Management leading to poor decision making which undermines educational and financial performance.	5	1	Phil Ker	5	5	Annual feedback on Council (Council evaluation) and Executive team performance supported by WES feedback for the Executive Leadership Team.
A major adverse media event leading to significant reputational harm.	3	2	LT Member Concerned	6	6	Implement critical incident policy (if relevant), preparation of press releases in anticipation of media coverage. Prompt management action when potential risks are identified.

**Otago Polytechnic
Governance Strategic Risk Register
July 2015**

Owner = Council

Responsibility = ~~Director: Quality (D:QLY), Director: Communications (D:COM), Kaitohutohu (KTO), Director: Sustainability (D:SUS), Director: research & Enterprise (D:REN), Director: Learning Environment (D:LEN), Director Organisational Development (D:ODV), Chief Executive (CE), Chief Operating Officer (COO)~~



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CP0015 Risk Management

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REPUTATION: TO BE A NATIONALLY ACKNOWLEDGED LEADER, PROVIDING ACADEMIC EXCELLENCE AND INNOVATIVE RESEARCH

	Risk Element	Impact (I)	Likelihood (L)	Risk Factor (I) x (L)	Risk Evaluation	Resp.	Current Issues/Action
Example	Failure to maintain quality in teaching and learning	4	2	8	Medium Review where necessary	D:QLY	Currently there are no courses with consistent poor performance (i.e., under 45% course completions). However there are a number not meeting OP's performance requirement of 80%. These courses/programmes will have a root cause analysis in 2015. Our previous requirement of an action plan, which happens every year, has not been effective.

STAFFING: TO BE AN EMPLOYER OF CHOICE IN THE ITP SECTOR

	Risk Element	Impact (I)	Likelihood (L)	Risk Factor (I) x (L)	Risk Evaluation	Resp.	Current Issues/Action
Example	Failure to develop and retain high-calibre leadership and management staff	4	3	12	High Risk Regular Monitoring	D:ODV	Size of OP and reliance on single positions to provide expertise in key roles is a significant issue and increasingly becoming a succession planning challenge. Tier 2 & 3 succession planning and development framework priority for 2015.



OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM:	COUNCIL CALENDAR
PURPOSE:	Attached is the Council calendar.
RECOMMENDATION:	For noting.

COUNCIL CALENDAR 2019/20

Meeting/Event	Nov	Dec	Jan 2020	Feb	March	April	May	June	July	Aug	Sept	Oct
Audit Process												
Interim												
Signoff						3 April						
Forecast												
Budget	1 Nov											
Council Meeting Fridays	1 Nov	6 Dec Placeholder		7 Feb	6 March	3 April	1 May	5 June Placeholder	3 July	7 Aug Marae Visit?	4 Sept Placeholder	2 Oct
Function		13 Dec										
Photo	1 Nov											
Fees Set												
International									3 July			
Domestic										7 Aug		
Finance and Audit Ctee		5 Dec		5 Feb Wed	5 March	2 April 30 April		4 June	2 July	6 Aug	3 Sept	1 Oct
Graduation		13 Dec			13 March							
Maori Pre-Grad		12 Dec			12 March							
Komiti Kawanataka Thurs at 8am		5 Dec		5 Feb	5 March	2 April 30 April		4 June	2 July	6 Aug	3 Sept	1 Oct

Meeting/Event	Nov	Dec	Jan 2020	Feb	March	April	May	June	July	Aug	Sept	Oct
Investment Plan Draft												
Approval												
Report												
Risk Management Review Policy	1 Nov											
Safety, Health and Wellbeing walk around	1 Nov School of Art 11.30am											
Strategy Workshop Approval												
OP Events	Student Showcase Schedule attached	5 Dec OP Christmas Party	30 Jan Breakfast and All Staff Meeting									

Student Showcases - November 2019

School	Event	Date	Time	Address	Contact	Confirmed
Photography	Photography Exhibition	Friday 1 November – Thursday 7 November	Opening 6pm (1 Nov)	The Hub, Otago Polytechnic	Frank Pawluk	Confirmed
IT	IT Showcase	Friday 22 November	5pm-8pm	2 nd Floor, D Block, Otago Polytechnic	Rob Broadley	Confirmed
Art	Site	Opening Friday 22 November Saturday 23 Sunday 24 Monday 25 Tuesday 26 Wednesday 27 Thursday 28	Opening 6pm 10am – 4pm Closed 12 – 4pm 12 - 4pm 12 - 4pm 12 – 8pm (Late Night)	Dunedin School of Art P Block Gallery Ground Floor Riego Street (off Albany St)	Thomas Lord	Confirmed
Design	Bachelor of Architectural Studies	Opening Friday 22 November Saturday 23 Sunday 24 Monday 25 Tuesday 26 Wednesday 27 Thursday 28	Opening 6pm 10am – 4pm Closed 12 – 4pm 12 - 4pm 12 - 4pm	Level 1, O Block – Entrance from Anzac Ave	Tobias Danielmeier	Confirmed
			12 – 8pm (Late Night)			

School	Event	Date	Time	Address	Contact	Confirmed
Design	NZ Cert in Digital Media & Design Exhibition	Opens Monday 2 December 5pm – Closes Friday 6 December at noon		H Block 3 rd Floor	Morgan Oliver	Confirmed
Design	Collections	Friday 22 November: Collections Graduate Fashion Show	7:00pm (doors open), seated by 7:45pm for an 8pm start	The Hub	Margo Barton / Tracy Kennedy	Confirmed
Design	Debrief	Debrief opening event: Thurs 21 Nov 5.30pm	Debrief Exhibition open 21 -24 Nov	The Hub	Matt Galloway	Confirmed
Carpentry	Charity House Auction	Saturday 23 November	12 noon	L Block (Anzac Avenue)	Mike Waddell / Michelle Higginson	Confirmed
Horticulture / Natural Resources	Plant Sale & Open Day	Saturday 30 November	9.30am	Front of Lawn, L Block (Anzac Ave)	Lisa Burton	Confirmed

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM:	EXECUTIVE LEADERSHIP TEAM INTERESTS REGISTER
PURPOSE:	The Executive Leadership Team Interests Register is attached.
RECOMMENDATION	For noting.



OTAGO
POLYTECHNIC
Te Kura Matatini ki Otago

OTAGO POLYTECHNIC INTERESTS REGISTER – EXECUTIVE LEADERSHIP TEAM

Register to be maintained for the Executive Leadership Team and kept by the Chief Executive's office as per policy CP0012.06 Disclosure of Interest.

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
1 February 2019	Philip Cullen	Cliffs Road Trading Board Member: – OP Auckland International Campus Ltd	Potential only		
5 July 2019	Megan Gibbons	Athletics Otago Board Otago Boys High School Sports Council Otago Boys High School Board of Trustees Judge Otago Sports Awards Start Up Dunedin Wildlife Hospital	Potential if fees assistance was requested OP is a sponsor		Ensure I am not involved if either of these organisations were in discussion with OP OP award chosen by Sport Otago and not judged on by judges

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
4 October 2019	Janine Kapa	Board Member: – A3 Kaitiaki Ltd (Chair) – Kokiri Training Centre – Otago Youth Wellness Trust – KUMA (Southern Māori Business Network) Member, Kāti Huirapa Rūnaka ki Puketeraki Partner, Kia Māia Bicultural Communications	Potential only Potential for similar clientele Potential for bias	Non-pecuniary Pecuniary Non-pecuniary	Proceed with: <ul style="list-style-type: none"> • caution & sensitivity • honesty & integrity
26 February 2018	Phil Ker	Board Member: – Malcam Trust – TANZ – TANZ eCampus Limited – OP Auckland International Campus Ltd – Postsecondary International Network – World Federation of Colleges and Polytechnics – JBA Limited OPAIC Limited Partnership (Chief Executive of OP as Partner) Convenor – selection panel for National Tertiary teaching Excellence Awards Glenys Ker, Programme Leader Capable NZ - spouse	Possible subcontractor Possible competitor Potential supplier and competitor to OP Possible bias Personal interests	Pecuniary Non-pecuniary Both	Transparency Non participation re OP candidates OP Policy

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
11 February 2019	Oonagh McGirr	Board Member: – Dunedin Fringe Arts Trust – The Malcam Trust – OERU Board			
2 February 2018	Chris Morland	SIGNAL ICT Grad School Ellen Morland, OP staff member spouse	Possible competitor Personal interest	Pecuniary Both	Transparency OP Policy
23 Oct 2019	Gagan Sachdeva	Tamanna Ahuja, Director of Search Experts Ltd., Spouse Other relatives employed at AIC: Seema Chawla, HoD Construction Rajeev Chawla, Lecturer, Business Kanika Hans – Technology Specialist	Supplier of Search Marketing and software development solutions to OP and OPAIC. Possible Bias	Both Non-Pecuniary	Transparency – relationship pre declared to OP colleagues and OPAIC Board. Transparency, Not directly involved in hiring / employment decisions or any matters arising in due course.

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM: ACADEMIC BOARD MINUTES	
PURPOSE: Attached are the minutes of the following Academic Board meetings: <ul style="list-style-type: none">• 13 August – approvals• 13 August - face to face• 10 September – face to face• 17 September – electronic• 30 September – electronic• 8 October – face to face	
PRESENTED BY: Oonagh McGirr	
RECOMMENDATION For noting.	



Academic Board

Minutes of the Academic Board meeting held on
13 August 2019

Quorum (10*) achieved 13/08/2019

*Quorum changed to 10 with update to membership May 2019 as per policy [AP0101 Academic Board](#)

1. Lesley Smith
2. Sally Baddock
3. Sue Thompson
4. Chris Morland
5. Marc Doesburg
6. Ron Bull
7. Megan Gibbons
8. Sam Mann
9. Trish Chaplin-Cheyne
10. Alex McKegg

1. **A90.19a** Type 1 Approvals and Certificates of Proficiency enrolments - attached

Discussion on the Type 1 changes, number of changes and the weightings. The weightings had already been changed to reflect greater weighting for written work i.e. 60/40.

Recommendation A90.19a: That Academic Board approves the Type 1 Changes as listed.

Approved: Lesley Smith / Sally Baddock

A90.19b Recommendation A90.19b: That Academic Board approves the individual Paths of Study for **Certificate of Proficiency** enrolments as listed.

Approved: Lesley Smith / Chris Morland

2. **A91.19:** Type 2 Change - NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying).

This is a type 2 change application to add a variation to the number of teaching weeks for the online TANZ eCampus delivery, to total 40 teaching weeks and 6 vacation weeks.

Recommendation A91.19: That Academic Board approves the Type 2 change to delivery and vacation weeks for TANZ eCampus delivery of NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying)

Approved: Lesley Smith / Marc Doesburg

3. **A97.19:** Consent to Assess – Apiculture Unit Standards

Otago Polytechnic wishes to gain consent to assess Apiculture unit standards in the Domain: Apiculture to level 4. These unit standards are required for the NZC in Apiculture (Level 3), and a context (list of unit standards) for the NZ2118 NZC in Primary Industry Skills (Level 2).

Recommendation: A97.19: That Academic Board approves the application for Consent to Assess for the Domain: Apiculture to Level 4.

Recommendation A97.19: That Academic Board approves the application for consent to Assess for the Domain: Apiculture to Level 4.

Approved: Lesley Smith / Marc Doesburg

4. **A92.19:** Edubits

New:

EBT500197 Responsible Guiding – Coastal Environment

EBT500198 Start-up 101

EBT500200 Post-assessment Moderation for Micro-credentials

EBT500200 Pre-assessment Moderation for Micro-credentials

Revised/updated

Learning in a Digital Age – correction of assessment four

EBT600039 New Employee – Mentoring and Support

Recommendation A92.19: That Academic Board notes the new Approved EduBits and changes to existing EduBits.

Approved: Lesley Smith / Ron Bull

5. **A93.19** Programme Approvals Committee (PAC) minutes for noting (attached).
PAC recommendations for approval.

6. **A94.19** NZ1884 New Zealand Certificate in English Language (Academic) (Level 5)

Recommendation A94.19: That Academic Board approves the Programme of Study and application for Accreditation and Approval for NZ1884 New Zealand Certificate in English Language (Academic) (Level 5).

Approved: Lesley Smith / Marc Doesburg

7. **A95.19** NZ3089 New Zealand Certificate in Commercial Road Transport (Heavy Vehicle Operator) (Level 3)

Recommendation A95.19: That Academic Board approves the Programme of Study and application for Accreditation for NZ3089 New Zealand Certificate in Commercial Road Transport (Heavy Vehicle Operator) (Level 3)

Approved: Lesley Smith / Chris Morland

8. **A96.19** NZ2223 New Zealand Certificate in Apiculture (Level 3)

Recommendation A96.19: That Academic Board approves the Programme of Study and application for Accreditation and Approval for NZ2223 New Zealand Certificate in Apiculture (Level 3).

Approved: Lesley Smith / Megan Gibbons

Next meeting(s) scheduled

- **Academic Issue Forum scheduled 5 September 2019**
- **Face to Face 10 September 2019**
- **Electronic standard approvals 10 September 2019**



Academic Board

Minutes of the Academic Board meeting
held on 13 August 2019

Present: Sue Thompson (Chair), Alex McKegg (left early), Ishant Ghulyani (left early), Lesley Smith, Marc Doesburg, Sally Baddock, Sam Mann, Chris Morland, Trish Chaplin-Cheyne, Ron Bull (late), Megan Gibbons (late)

In attendance: Lynn Hunter (Secretary)

Apologies: Oonagh McGirr, Brayden Murray, Ian Crabtree, Janine Kapa, Phil Ker, Leoni Schmidt

Quorum (10*) achieved 13/08/2019

*Quorum changed to 10 with update to membership May 2019 as per policy [AP0101 Academic Board](#)

1. Minutes for approval as true and correct record and any matters/actions arising:

A084.19 AB Issues Forum notes 1 August 2019

Recommendation A084.19: That Academic Board approved the AB Issues Forum notes of 1 August 2019 as a true and correct record.

Action: *Correct notes to reflect Sally Baddock as 'present' and not 'in attendance'*

Agreed: Lesley Smith / Sally Baddock

A083.19 eAB minutes 31 July 2019

Recommendation A083.19: That Academic Board approved the electronic minutes of 31 July 2019 as a true and correct record.

Agreed: Lesley Smith / Trish Chaplin-Cheyne

A082.19 eAB minutes 9 July 2019

Recommendation A082.19: That Academic Board approved the electronic minutes of 9 July 2019 as a true and correct record.

Correct time of approval from Lesley as it is recorded as 2.56am, change to 2.56pm.

Agreed: Sally Baddock / Alex McKegg

A081.19 AcBd minutes (face to face) of 9 July 2019

Recommendation A081.19: That Academic Board approved the face-to-face minutes of 9 July 2019 as a true and correct record.

Agreed: Sally Baddock / Lesley Smith

Updates of action matters arising

Whakapikia te mana – Trish Chaplin-Cheyne

Janine and Trish are putting together a plan to do a presentation to HoC/HoS and then to LTD in the next few weeks.

LNAT and Diagnostic Tool – Trish Chaplin-Cheyne

LTD have assisted student services in taking over LNAT. Lisa Pike is responsible for the administration of the assessment tool and is working closely with Carolyn Tregoe in Registry. They are working on spreadsheet identifying who has access and are backing up earlier communication to let everyone know that LTD are responsible for this. A notice is also being put on Tuhono. Students enrolling in L2 & L3 programmes are expected to take the tool at the beginning and again at the end of the programme to measure if they are gaining an improvement in the programme they are enrolled in. Literacy and numeracy is embedded in those programmes.

Action: *Trish to check a stocktake of the uptake in Level 2 & 3 programmes and report back to next meeting.*

Edubit – Trish Chaplin-Cheyne

We are putting literacy and numeracy as a L7 course into the GDTE. Anyone who is teaching on a L1-L3 is required under the GDTE to do as a compulsory course. There is also a gap in some of our higher level programmes and we are developing an EduBit that Terri Bryan is working on to identify the gaps and come up

with strategies that look at critical analysis, problem solving, report writing and research. This will be similar to the GDTE EduBit for literacy and numeracy but on specific work that learners do find challenging. Trish will provide continual updates.

A060.19 APERs – Lesley Smith

Following last meeting the errors in the degree reports to NZQA were corrected, signed off by DCE and resent to NZQA.

EPIs – Sue Thompson

EPIs was verbally explained at last meeting particularly re the first year retention rate. We are unable to access the public facing TEC report on the 2018 EPIs yet. We are in the process of identifying the first year retention rate being so low compared with our other performance indicators in the report. We have some practices that are to our disadvantage that were referenced at the last meeting, Capable NZ and those programmes who award advance standing to enable experienced learners to enter the third year of the degree so they graduate in the same year is the biggest issue. We get the qualification completions, but those completions show negatively against the first year retention rate. If we added those completions to our first year retention rate it puts us in the top quarter rather than being in the bottom quarter.

A66.19 Certificate in Land Skills (L2) – Lesley Smith

The items highlighted in the last meeting were followed through and completed. We have had confirmation of the funding from TEC. We have also had verbal assurance from study link that they will fund the students. It will be good to receive this assurance in writing.

Action: Lesley to follow up verbal assurance from Study Link for funding in writing.

2. A085.19 VE reform verbal update – Chris Morland

A general discussion on the VE reform, CoVEs, PG/Research, managed apprenticeships, future of Academic Board, and to request from Phil Ker clarification or to follow up with Council. Council are meeting this week to discuss strategic direction on reform.

Action: Chris to request from Phil Ker or Council

- **managed apprenticeships and or other opportunities as a result of RoVE**
- **future or not of the Academic Board as by legislation this is currently part of OP Council**
- **what Council specifically require from Academic Board in response to the reforms.**

3. A086.19 APERS reports tabled – Lesley Smith

Lesley talked to the collated data from APERs and the 2018 Annual Programme Review draft report. The collated data will be pulled together in another format to be sent out to HoS. All the reports are available through the performance portal. She is completing a summary report for Academic Board. Ninety three APER reports were submitted, with some programmes reviewed together due to similarity. The summary report will outline opportunities for improvements for 2019/20 cycle. Discussion on reporting e.g. data vs narrative. Concerns of focusing on performance indication data and not on the other measurables of quality of learning and teaching and graduate destination because they are all measurables of equal value. Need balance between APERS report and what is ongoing evidence and should be informing the teams of self assessment practices. Alex offered to review guidelines and templates.

4. A087.19 Moderation and CIA update – Sue Thompson

No update on CIA and moderation is continuing. Jeanette's focus in the last month has been with our partners who we have subcontracts with and is currently working with the Kokiri Centre to make sure they have rigorous assessment and moderation processes.

5. A088.19 NZQA Consultation on proposed changes to NZQ Framework

NZQA put out a consultation document on changes to the NZQ Framework. A discussion on the eight proposals which include:

- Including a wider range of quality assured education products onto a broader qualifications and credentials framework
- Embedding transferable competencies into the NZQF
- Ensuring that vocational qualifications can be listed at higher levels of the NZQF
- Addressing the level 7 Diploma issues
- Addressing the level 8 Bachelor Honours Degree issues
- Supporting the development of degree apprenticeships
- Addressing other technical issues raised in the review
- Making the NZQF easier to use and more relevant to all stakeholders

NZQA are seeking feedback on this approach of the capabilities. It is the understanding that this review will be completed by the end of this year, if not, early next year. NZQA is not responsible for the quality assurance of the University sector, but is responsible for the definition of qualifications. Recommended to refer to the NZQA website for further information and/or clarification of the consultation document. Lesley is putting a blog up, circulating to staff and another survey is being run.

6. A089.19 Dual Badging Construction Certificates with Future Skills – for noting, Sue Thompson

An MoU with Future Skills is in place in respect of what was the National Diploma of Quantity Surveying and is now the New Zealand Diploma in Construction Management (Quantity Surveying) and Future Skills have asked to double badge the NZQA specified certified which we have agreed to.

7. AcBd Approvals items for approval

7.1. A90.19a Type 1 Approvals and Certificates of Proficiency enrolments - attached

Discussion on the Bachelor of Leadership for Change (CBLFC) Type 1 changes, number of changes and the weightings. NZQA advice had been sought re the number of changes to the BLFC still being Type 1. The weightings had already been changed to reflect greater weighting for written work i.e. 60/40.

Recommendation A90.19a: That Academic Board approves the Type 1 Changes as listed.

Approved: Lesley Smith / Sally Baddock

A90.19b Recommendation A90.19b: That Academic Board approves the individual Paths of Study for **Certificate of Proficiency** enrolments as listed.

Approved: Lesley Smith / Chris Morland

7.2. A91.19 Type 2 Change - NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying)

This is a type 2 change application to add a variation to the number of teaching weeks for the online TANZ eCampus delivery, to a total of 40 teaching weeks and 6 vacation weeks.

Recommendation A91.19: That Academic Board approves the Type 2 change to delivery and vacation weeks for TANZ eCampus delivery of NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying)

Approved: Lesley Smith / Marc Doesburg

7.3. A97.19 Consent to Assess – Apiculture Unit Standards

Otago Polytechnic wishes to gain consent to assess Apiculture unit standards in the Domain: Apiculture to level 4. These unit standards are required for the NZC in Apiculture (Level 3), and a context (list of unit standards) for the NZ2118 NZC in Primary Industry Skills (Level 2).

Recommendation: A97.19: That Academic Board approves the application for Consent to Assess for the Domain: Apiculture to Level 4.

Recommendation A97.19: That Academic Board approves the application for consent to Assess for the Domain: Apiculture to Level 4.

Approved: Lesley Smith / Marc Doesburg

7.4. A92.19 Edubits

New

EBT500197 Responsible Guiding – Coastal Environment

EBT500198 Start-up 101

EBT500200 Post-assessment Moderation for Micro-credentials

EBT500200 Pre-assessment Moderation for Micro-credentials

Revised/updated

Learning in a Digital Age – correction of assessment four

EBT600039 New Employee – Mentoring and Support

Recommendation A92.19: That Academic Board notes the new Approved EduBits and changes to existing EduBits.

Approved: Lesley Smith / Ron Bull

7.5. A93.19 Programme Approvals Committee (PAC) minutes for noting (attached)

PAC recommendations for approval.

7.6. A94.19 NZ1884 New Zealand Certificate in English Language (Academic) (Level 5)

Recommendation A94.19: That Academic Board approves the Programme of Study and application for Accreditation and Approval for NZ1884 New Zealand Certificate in English Language (Academic) (Level 5).

Approved: Lesley Smith / Marc Doesburg

7.7. **A95.19** NZ3089 New Zealand Certificate in Commercial Road Transport (Heavy Vehicle Operator) (Level 3)

Recommendation A95.19: That Academic Board approves the Programme of Study and application for Accreditation for NZ3089 New Zealand Certificate in Commercial Road Transport (Heavy Vehicle Operator) (Level 3)

Approved: Lesley Smith / Chris Morland

7.8. **A96.19** NZ2223 New Zealand Certificate in Apiculture (Level 3)

Recommendation A96.19: That Academic Board approves the Programme of Study and application for Accreditation and Approval for NZ2223 New Zealand Certificate in Apiculture (Level 3).

Approved: Lesley Smith / Megan Gibbons

8. Other Business

No other business noted.

Action Summary

who	what	when
Lynn	A084.19 Correct notes to reflect Sally Baddock as 'present' and not 'in attendance'	By next meeting
Lynn	A082.19 eAB minutes 9 July 2019 – Correct approval time for Lesley Smith to "am"	By next meeting
Trish	LNAT and Diagnostic Tool Trish to check a stocktake of the uptake in Level 2 & 3 programmes and report back to next meeting.	By next meeting
Lesley	Lesley to follow up verbal assurance from Study Link for funding in writing.	By next meeting
Chris	Chris to request from Phil Ker or Council <ul style="list-style-type: none"> managed apprenticeships and or other opportunities as a result of RoVE future or not of the Academic Board as by legislation this is currently part of OP Council what Council specifically require from Academic Board in response to the reforms. 	By next meeting

Meeting closed 10:25am**Next meetings**

- 5 September 2019 – Academic Issues Forum – postponed to 31 October 2019
- 10 September 2019 (x2) face to face meeting for discussion items and e-meeting for standard approval items
- 8 October 2019 (x2) face to face meeting for discussion items and e-meeting for standard approval items
- 31 October 2019 Academic Issues Forum



Academic Board

Minutes of the Academic Board meeting
held on 10 September 2019

Present: Oonagh McGirr (Chair), Marc Doesburg, Lesley Smith, Janine Kapa, Leoni Schmidt, Chris Morland, Brayden Murray, Sam Mann, Sally Baddock, Megan Gibbons, Ron Bull (late), Phil Ker (left 10.30am), Nathan Laurie (left 10.30am)

In attendance: Lynn Hunter (Secretary)

Apologies: Trish Chaplin-Cheyne, Ian Crabtree, Sue Thompson, Ishant Ghulyani, Alex McKegg

Quorum (10*) achieved 10/09/2019

*Quorum changed to 10 with update to membership May 2019 as per policy [AP0101 Academic Board](#)

1. Minutes for approval as true and correct record and any matters/actions arising:

A99.19 AB approvals minutes 13 August 2019

Recommendation A99.19: That Academic Board approved the electronic minutes of 13 August 2019 as a true and correct record.

Agreed: Oonagh/Chris

A98.19 AcBd minutes (face to face) 13 August 2019

Recommendation A98.19: That Academic Board approved the face-to-face minutes of 13 August 2019 as a true and correct record.

Agreed: Oonagh/Sally

Updates of action matters arising

A084.19: Noted that correction to reflect Sally Baddock as 'present' and not 'in attendance' was completed.

A082.19: Noted that correction to eAB minutes 9 July 2019 – approval time for Lesley Smith to 'am' was completed.

LNAT and Diagnostic Tool

Update report from Trish Chaplin-Cheyne

The [linked spreadsheet](#) is a live document that is continuously being updated and worked on:

A base spreadsheet has been created with the following information:

- List of OP staff with access to the LNAAT tool – both administrative rights and educator rights:
 - Yellow highlighted rows indicate LNAAT Educators in report highlights staff that may need training
 - Which L2 & L3 programmes Educators are teaching in
 - Training had in the use of the LNAAT tool and whether it was informal (buddy system) or formal
 - Whether the tool is being used at the beginning and end of the programme
 - Any further feedback shared
- An EBS report showing everyone associated with L2 & L3 courses is being matched up with those that have access to the LNAAT tool to highlight anyone who may need to be granted access and receive training.
- Overall feedback seems to be trending towards staff having had either formal or informal training and that it can be difficult to get buy in from students, particularly for reassessment at the end of the programme.

A66.19 – Certificate in Land Skills (L2)

Emails received to advise assurance of funding from Study Link and the emails are stored in programme approvals with our Land Skills programme.

Action: Lesley to share correspondence of funding approvals at next meeting.

A085.19 VE reform verbal update

a. managed apprenticeships and or other opportunities as a result of RoVE

Currently gathering significant information around managed apprenticeships and what shape this takes, we don't have details yet but doing some research to pull together to bring to next meeting.

Action: Chris to bring completed report to next meeting on managed apprenticeships.

b. future or not of the Academic Board as by legislation this is currently part of OP Council

The current bill does not make any provision for subsidiaries to have Academic Board in any particular role and there is an intent to set up an Academic Board for the new institution to approve all programmes from that point onwards. We suspect it will be realised when the thinking has been done that the Academic Board is going to need some delegation for minor matters that need Academic screening. There may be a view that needs to be formed by this board about the future of the Academic Board in the subsidiary context. It is not clear what the outcome will be until advised by NZIST. Further discussion was held to around meeting the Establishing Board Chair last week and essential function for subsidiaries to drive the activities of NZIST. Quoted "Very few staff, but very high calibre". We need to think through what is it that we would like to have happen in terms of Academic and consultation structures at board level because these are unsubscribed and there will be a fair amount of freedom for the OP Ltd Board to do this so long as they are not contrary to the direction of the NZIST direction.

c. What Council specifically require from Academic Board in response to the reforms.

Council do not specifically require any response to the reforms, but if we wish to, we can put together a document to submit for further clarification. It was noted that these minutes are submitted to Council and are read and often commented on so any significant items we wish to note we can do that here or alternatively we can collate some commentary/notes and table the items with the minutes as an extraordinary item.

Overall, ELT welcome any further comments or points through the various platforms and forums available to all students/staff. Also to think about any questions around the Reform and what our thoughts are and what our position should/need to be for the future.

2. A100.19 Consistency - Lesley to talk to both reports

Consistency reports were explained to highlight the direction of the NZQA reports. One report being the Consistency report for NZ Dip Bus (L5), Otago Polytechnic that was held November 2018, shows evidence as sufficient. In delivering Dip Bus, from 19 organisations six or seven have gained sufficiency. The different deliveries were a challenge and this was consistent across the country, e.g. at OP we have TANZ, Capable and face-to-face deliveries. One person was allowed to attend the consistency meeting to present evidence from all cohorts to NZQA. With intervention from Phil K, this year TANZ were able to present at these meetings in their own right, so that TANZ delivery is on the table to provide evidence. The NZQA National report is shown as 'not confirmed'. Highlighted across the country there is too much variation in graduate outcomes in what and how it is being delivered. Moderation issues were also highlighted. There will be another round of Consistency meetings in 2020. What is OP doing to ensure mitigation of shortfalls? As an outcome, addressing significant issues raised through the different conduits, APERs and the internal audit where Jeanette O'Fee has been seconded as internal auditor. Confirmation that we also have the work we have been doing across pan-institutional to ensure we have internal consistency of delivery, moderation and assessment and as a consequence of ongoing work there have been some improvements. It has also been highlighted this Consistency practise is flawed in many ways and we are not providing employer data because that goes beyond the bridge. The bridge of consistency is; does the teaching deliver to the graduate profile? Does the graduate meet employers needs? This is an entirely different question and we will be discouraging our staff from providing this information. Proposed to NZQA to have at least 20 graduates before we are placed into a consistency review. We are waiting for a response before further participation.

3. A101.19 Research Performance Measures for Degree-teaching teams

Recommendation A10119: Research and Postgraduate Studies Committee recommends that research allocation of the current 0.2 proportional to staff employment be clarified and made explicit for all degree and postgraduate degree lecturers in relation to their Teaching Hours. Research Directorate will continue to offer support to individuals and teams to achieve this. We acknowledge there may be budget implications for some areas.

Megan disagreed with the recommendation as we don't have a proportion put forward for teaching. It comes down to individual discussions around workload and where you fit these things into it. Every staff member has two weeks PD and we need to be clearer on how this is used. We have looked at other workloads and for most people there do not appear to be issues regarding over teaching; personal accountability in this space is required. Conversation arose after looking at performance measures and there have been discussions and some confusion and examples were provided and discussed. We advocate for Academic Board to support us to have conversations where needed and provide modified guidelines and model of what is expected in the schools. Academic Board noted they don't agree/disagree and that looking at the allocation of TTH and the duties which are included within the teaching role and what remains for research and reminding staff of their PD allocation which may be used for that. There is a need to reset peoples' perceptions.

Action: Megan, Chris and Leonie to meet to develop communication that clarifies all elements of workload that is the core job and bring a draft to next Academic Board.

4. A10219 TANZ Education Service Agreement

Each individual ITP in the TANZ eCampus has been requested to get individual approval of sub-contracting arrangements with TANZ, and submit individual applications to NZQA.

Recommendation A10219: That Academic Board approves of the TANZ Education Service Agreement.

The Service Agreement was received and noted by the AcBd members on the basis that Phil Ker had already signed the Service Agreement, therefore not requiring further approval.

5. AcBd Approvals and items for approval and noting

5.1. **A103.19** Type 1 Approvals and Certificates of Proficiency enrolments - attached

Recommendation A103.19a: That Academic Board approves the Type 1 Changes as listed.

Approved: Lesley/Chris

Questioned whether the student concerns received last year in Bachelor of Architectural Studies were addressed.

Action: Approved contingent upon Lesley confirming whether the student concerns were addressed and reports this back to Academic Board.

A10.3b Recommendation A103.19b: That Academic Board approves the individual Paths of Study for **Certificate of Proficiency** enrolments as listed.

Approved: Oonagh/Megan

5.2. **A104.19** Edubits for noting

Recommendation A104.19: That Academic Board notes the new Approved EduBits and changes to existing EduBits.

Approved: Oonagh/Leoni

Oonagh provided context to support EBT700168 & EBT500220.

Action: Approved contingent to minor amendment - EBT500197 spelling change from 'costal' to 'coastal'

Action: Provide feedback to Andy Kilsby regarding the need to develop an EduBit for Academic Writing for undergraduate success.

5.3. **A105.19** OT5110 Postgraduate Certificate in Applied Management

OT5111 Postgraduate Diploma in Applied Management with Majors in Business Management and Business Information Systems

OT5112 Master of Applied Management with Majors in Business Management and Business Information Systems.

Recommendation A10519: That Academic Board approves the Type 2 change and amended programme document for the Postgraduate Applied Management Suite of Programmes OT5110 Postgraduate Certificate in Applied Management, OT5111 Postgraduate Diploma in Applied Management, and OT5112 Master of Applied Management.

Discussion that the PAC minutes had not been sent out with the agenda and needs to be included for context of changes made. Concerns there are inconsistencies in wording and content. Learning outcome is deleted and in Janine's view should be retained. Needs further discussion with Lesley, Ron and Janine.

Action: For e-meeting vote, upon receipt of PAC minutes, discussion with Lesley, Ron and Janine, and amendment.

5.4. **A106.19** OT5101 Graduate Diploma in Tertiary Education

Recommendation A106.19: That Academic Board approves the Type 2 change and amended programme document for OT5101 Graduate Diploma in Tertiary Education.

Approved: Oonagh/Janine

Oonagh provided detailed context of the changes in whole programme. Enables using EduBits across the programme, final piece will be getting this badged within the associate fellowship from Higher Education Academy which is the international body that recognises learning and teaching good practise globally. Inconsistencies in wording and shifting of That will then enable us to have all OP staff recognised internationally. It was highlighted there were some inconsistencies in wording and question of moving a section forward in the document.

Action: Contingent upon including consistent wording changes and other inconsistencies and movement of changes raised by Janine.

5.5. **A107.19** NZ2714 New Zealand Certificate in Mechanical Engineering (Trades) (Level 4)

Recommendation A107.19: That Academic Board approves the Programme of Study and subsequent application for Accreditation for NZ2714 New Zealand Certificate in Mechanical Engineering (Trades) (Level 4).

Approved: Oonagh/Chris

5.6. **A108.19** NZ2592 New Zealand Certificate in Computing (Intermediate User) (Level 3)

Recommendation A96.19: That Academic Board approves the Type 2 change to the programme of study document for NZ2592 New Zealand Certificate in Computing (Intermediate User) (Level 3).

Approved: Oonagh/Chris

Action: Contingent on the change in "Definitions" – TANZ eCampus to ensure naming of entities are correct.

6. Other Business

Education Vocational Education and Training Reform - Chris

Page 18, “22E Academic freedom of NZIST” of the ‘Bill’ was provided for review and general discussion with points raised. Point 3 potentially cancels out 2(c) and (d). There is potential conflict that sets us in a paradigm that would put us in direct conflict with the workforce to Government Council. The need for us to address that and will arise as ELT are working to prepare responses on various levels. One being Dunedin to be the host city and the second is responding to aspects of the legislation which we feel may position us unfairly in a compromised position or in conflict with a number of the new component bodies to be established as part of the NZIST. NZIST is the national body and the subsidiary is OP. On the Establishment Board has people appointment from different regions appointed. Barry Jordan who is the Establishment Board Chair, he looks after Wellington and the South Island, there are two people configured to look after the upper North Island.

- Tenor could be perceived as contradictory
- Freedom of Academic staff and students – what is meant by this?

Action: Chris to share the Bill link to AcBd members to share with peers/Colleagues, any concerns/questions/ comments to collate and put to the Select Committee.

Action: To draft a response document to the RoVE legislation focusing on areas of concern (conflict), to disseminate as a shared document for further contributions by AB members. *Intention is to refine, agree and submit to Council as an advice piece.*

Action Summary

who	what	when
Lesley	A66.19 – Certificate in Land Skills (L2) Lesley to share correspondence of funding approvals to next meeting.	By next meeting
Megan/Chris/Leoni	A101.19 Research Performance Measures for Degree-teaching teams Megan, Chris and Leonie to meet to develop communication that clarifies all elements of workload that is the core job and bring a draft to next Academic Board	By next meeting
Lesley	A103.19a OT5138 Bachelor of Architectural Studies Lesley to confirm whether the student concerns were addressed and report back to Academic Board.	By next meeting
Lesley	A104.19 EBT500197 Responsible Guiding: Coastal Environment Approved contingent to minor amendment – spelling change from ‘costal’ to ‘coastal’	By next meeting
Lesley	A105.19 OT5110 Postgraduate Certificate in Applied Management For e-meeting vote, discussion had, points raised, points amended when we have a record of it.	By next meeting
Janine	A106.19 OT5101 Graduate Diploma in Tertiary Education Contingent upon including consistent wording changes and other inconsistencies and movement of changes raised by Janine	By next meeting
Lesley	A108.19 NZ2592 New Zealand Certificate in Computing (Intermediate User) (Level 3) Contingent on the change in “Definitions” – TANZ eCampus to ensure naming of entities are correct.	By next meeting
Chris	Education Vocational Education and Training Reform To share the Bill link to AcBd members to share with peers/Colleagues, any concerns/questions/ comments to collate and append to the minutes from Academic Board to the Council and we get our concerns heard.	By next meeting
Oonagh	To draft a response document to the RoVE legislation focusing on areas of concern (conflict), to disseminate as a shared document for further contributions by AB members. <i>Intention is to refine, agree and submit to Council as an advice piece.</i>	By next meeting

Meeting closed: 10.48 am

Next meetings

- 8 October 2019 face to face meeting for discussion items and e-meeting for standard approval items
- 13 November 2019 face to face meeting for discussion items and e-meeting for standard approval items
- 14 November 2019 Academic Issues Forum
- 10 December 2019 face to face meeting for discussion items and e-meeting for standard approval items



Academic Board

Minutes of the *electronic* Academic Board meeting held on
17 September 2019

Responses from

1. Oonagh McGirr (moved)	Approved 17/09/2019, 2.38 pm
2. Lesley Smith (seconded)	Approved 17/09/2019, 2.38 pm
3. Ian Crabtree	Approved 17/9/2019, 2.48 pm
4. Sue Thompson	Approved 17/9/2019, 2.52 pm
5. Megan Gibbons	Approved 17/9/2019, 4.18 pm
6. Leoni Schmidt	Approved 17/09/2019, 9.23 pm
7. Janine Kapa	Approved 17/9/2019, 11.14pm
8. Chris Morland	Approved 18/9/2019, 9.46 am
9. Brayden Murray	Approved 18/9/2019, 10.08 am
10. Nathan Laurie (OPSA rep)	Approved 19/9/2019, 11.30 am

Quorum (10) achieved 17/09/2019

1. **A110.19 Programme Approvals Committee (PAC) minutes from 27 August 2019 for noting (attached)**

Recommendation A110.19: That the Academic Board notes and approves the PAC minutes.

2. **A103.19 Type 1 Approval – OT5138 Bachelor of Architectural Studies (BAS changes for Academic Board email attached)**

Recommendation A103.19 – That Academic Board approves the Type 1 Changes for OT5138 as listed and that the Academic Board notes the email trail from the student concerns.

3. **A105.19**

OT5110 Postgraduate Certificate in Applied Management
OT5111 Postgraduate Diploma in Applied Management
OT5112 Master of Applied Management

Recommendation A105.19: That Academic Board approves the Type 2 changes and amended programme document for the Postgraduate Applied Management Suite of Programmes OT5110 Postgraduate Certificate in Applied Management, OT5111 Postgraduate Diploma in Applied Management, and OT5112 Master of Applied Management.

Next meeting(s) scheduled

- **Face to Face 8 October 2019**
- **Face to Face 13 November 2019**
- **Academic Issues Forum 14 November 2019**



Academic Board

Minutes of the *electronic* Academic Board meeting held on
30 September 2019

Responses from

1. Oonagh McGirr (moved)	Approved 30/09/2019, 9.48 am
2. Chris Morland (seconded)	Approved 30/09/2019, 9.52 am
3. Sally Baddock	Approved 30/09/2019, 9.53 am
4. Leoni Schmidt	Approved 30/09/2019, 9.56 am
5. Sue Thompson	Approved 30/09/2019, 10.36 am
6. Brayden Murray	Approved 30/09/2019, 11.48 am
7. Trish Chaplin-Cheyne	Approved 30/09/2019, 1.10 pm
8. Megan Gibbons	Approved 30/09/2019, 1.44 pm
9. Ian Crabtree	Approved 30/09/2019, 2.42 pm
10. Samuel Mann	Rejected 01/10/2019, 7.42 am
11. Nathan Laurie (OPSA President)	Approved 01/10/2019, 10.29 am
12. Janine Kapa	Approved 01/10/2019, 2.33 pm

Quorum (10) achieved 30/09/2019

A112.19 NZ2218 New Zealand Certificate in Primary Industry Skills (Level 2)

Recommendation: That Academic Board approves the removal of IELTS requirements from NZ2218 New Zealand Certificate in Primary Industry Skills (Level 2).

Samuel Mann's reason for rejection

"I do not think we have been provided with sufficient justification for this exception. That is, the rule is there for a reason – to increase the likelihood of successful completion - on what basis is it not appropriate here?"

Chair's response

Rule 18 does not have any English proficiency requirements for programmes at levels 1 & 2. The international students enrolling in this programme are provided with significant additional support to increase their English language competency alongside meeting the programme course and graduate profile outcomes. To require an IELTS at the same level required for level 3 programmes is an unreasonable expectation.



Academic Board

Minutes of the Academic Board meeting held on 8 October 2019

Present: Oonagh McGirr (Chair), Ian Crabtree, Leoni Schmidt, Nathan Laurie, Trish Chaplin-Cheyne, Samuel Mann, Sue Thompson, Sally Baddock, Ron Bull

In attendance: Lynn Hunter (Secretary) Federico Freschi

Apologies: Phil Ker, Brayden Murray, Chris Morland, Marc Doesburg, Megan Gibbons, Janine Kapa, Alex McKegg, Ishant Ghulyani

Quorum (10*) achieved 8 October /2019

*Quorum changed to 10 with update to membership May 2019 as per policy [AP0101 Academic Board](#)

1. Opened with karakia and welcomed Federico Freschi, Head of College, Arts, Design & Architecture as a constituent member of the Board.
2. Minutes for approval as true and correct record and any matters/actions arising:

A109.19 AB face-to-face minutes 10 September 2019

Recommendation A109.19: That Academic Board approves the minutes of 10 September 2019 as a true and correct record.

Agreed: Oonagh / Sally

A111.19 E-meeting AB minutes 17 September 2019

Recommendation A111.19: That Academic Board approves the minutes of 17 September 2019 as a true and correct record.

Agreed: Oonagh / Sue

A113.19 E-meeting AB minutes 30 September 2019

Recommendation A113.19: That Academic Board approves the minutes of 30 September 2019 as a true and correct record.

Action: Approved contingent on adding the justification from the Chair on the E-meeting minutes.

Agreed: Oonagh / Sam

Updates of Action Matters arising:

A66.19 Certificate in Land Skills

Correspondence shared and noted. Action completed.

A101.19 Research Performance Measures for Degree-teaching teams

It was requested to defer this item to the next meeting 14 November. A verbal update was provided that work is continuing and not quite finalised. We are in discussion through Megan Gibbons, P&C and Chris Morland our DCE Learner Experience liaising with HoS to close out with the intention to make sure the expectations are clear and that we have consensus and ready for 2020.

Action: Remove words 'day-to-day' from minutes.

Action: Agreed to move this item to Academic Issues Forum 14 November

A103.19a OT5138 Bachelor of Architectural Studies

Email trail noted and approved by AcBd e-meeting 17 September. Action completed.

A104.19 EBT500197 Responsible Guiding: Coastal Environment

Minor amendment of spelling to change from 'costal' to 'coastal'. Action completed.

A105.19 OT5110 Postgraduate Certificate in Applied Management

Changes were addressed and approved by AcBd e-meeting 17 September. Action completed.

A106.19 OT5101 Graduate Diploma in Tertiary Education

Inconsistencies and wording changes were addressed. Action completed.

A108.19 NZ2592 New Zealand Certificate in Computing (Intermediate User) (Level 3)

Definitions – TANZ eCampus to ensure naming of entities are correct. Noted and changed. Action completed.

Education Vocational Education and Training Reform

Noted that the link in the document to the bill didn't work for some people. In response to the VE Bill consultation submissions to the legislations are due in by the end of this week. We are currently finalising a document finalising document around Dunedin as an educational city and therefore becoming the HQ for NZIST. Discussion on whether we can work this into a collective submission in response to the legislation. The Chair of OP Council is on the Establishment Board. This doesn't mean she can influence legislation or Chock? Phil Ker is leading two of the seven working groups. Tanz E-Campus and SIT are also sending through a document. There was general discussion on why we are submitting to support when it hasn't worked in the past. We support it because we believe that there are significant cost savings to be made and if it is well managed there can be a good and sound basis for benchmark practise. We are not arguing for standardisation. It is to maximise the limited resources there are in this country around curriculum development and to save a small fortune that the 16 polytechnics are all spending on programme development, but that unit will be doing it at the instruction of the subsidiary who wants the programme.

Action: Ensure the link to the Bill in the reform document works and resend to Board members.

Action: Oonagh to draft a document, send to Academic Board members for review before end of week as a collective submission.

3. A114.19 Policies updated for noting

- AP0505.04 – Programme Guide and Academic Content for Publication
- MP0107.02 – Library Committee
- AP0802 – Work Placements and OSH for Learners in the Workplace
- AP1003.09 – Graduation

Academic Board noted the above policies have been reviewed, approved and uploaded to the Policies database. It was noted that Council have their policies that they review and included in this is the delegations of the Chief Executive which includes the making of the Academic and Management policies. The Postgraduate Study Policy is currently being reviewed and feedback with various members of Executive team and will come back to Academic Board when finalised. It would be useful to state the Moderation of Assessment policy is in draft and likely to be approved by end of the year.

Action: Oonagh to check with Phil status of Moderation of Assessment policy.

4. A115.19 Leadership for Change request for oral assessment

Questioned that the item was for approval and not noting when it had been approved by Capable NZ Committee. Clarification that this needs to be approved at Academic Board level because it is a change in academic process and sits outside our normal processes. The Chair advised that Phil has provided his concerns in his absence for discussion and action and doesn't support the changes without further evidence.

Glenys was not in attendance at the meeting. We had not told her that she was to be in attendance to talk to her paper. We agreed as a Board for Sam to speak to the item.

Points noted:

- a) Concerns regarding academic rigor
- b) A need for a full rationale e.g. which other institutions in NZ allow for all reports for a final major assessment and under what conditions as this was not provided
- c) Discussions about whether or not this is contained within the Programme Document
- d) To see the record of the full discussions for Capable NZ Committee
- e) KTO noted the desire to arrive at the possibility of oral assessment for all learners (in time) but had also noted academic expectations for an oral assessment
- f) Noted that if there is a word length requirement for written, what is the equivalent in terms of an oral assessment? There is no reference in terms of the report length in the communications about this request to KTO.

There is philosophical support for oral assessment; there are many items, as indicated which above are not addressed, and need to be in order for Academic Board to make the final decision. Decisions need to be made on the evidence provided to assist academic board's decision making. We need to map against regulations for the purpose of audit and monitoring and that we are clearly guided by and respond to Quality.

Action: To provide the following:

1. A fuller rationale which represents the views of all those who have contributed to the discussion until this point
2. Full notes from the Capable NZ Committee
3. Information, as requested by the CE, which clearly indicates this practice in other TEIs
4. Full information detailing how rigor will be met and maintained in the proposed final assessment
5. Part of the clarification is thinking through and addressing the unintended consequences of engaging with the request to orally assess
6. What are the implications for Policy programme regulations including weightings for oral versus written work for final assessments, and how can/do we address this?

5. A116.19 Elected members for Academic Board

It was recommended that Academic Board members maintain its current membership and format subject to information from NZIST on the future of Academic Board. It was noted changes of membership in the Policy with the Auckland International Campus Executive Director – Academic no longer there and with Leoni and Sue who are already members it was recommended that OPAIC HoD/Quality Specialist who has a policy role to become a member of the Academic Board.

Action: Request policy change to Academic Board membership with the current changes from OPAIC.

Action: To put election membership on agenda in February 2020 to review situation subject to NZIST changes.

Agreed: Oonagh/Ian

6. A117.19 Tentative dates for 2020 and work plan

Noted the Proposed tentative dates for Academic Board subject to NZIST outcomes.

Agreed: Oonagh/Sue

7. A118.19 Type 1 approvals

Recommendation A118.19: That Academic Board approves the Types 1 Changes as listed.

Agreed: Oonagh/Sue

Trish provided context on the Type 1 Changes that were listed. Questions regarding the perceived loss of cultural identity and ethics which used to be in the professional practise of the Engineering courses which are now replaced with the studio 1, 3, and 5 courses and therefore poses ethics concerns. It was noted that these items may be addressed by communicating with the programme development team.

Action: Contingent on Trish receiving a response to address the issues provided, the Academic Board will approve.

8. A119.19 Type 2 change – NZ3030 New Zealand Diploma in Building Surveying (Level 6)

Otago Polytechnic holds accreditation for Future Skills Academy Programme of Study leading to NZ3030 New Zealand Diploma in Building Surveying (Level 6). Future Skills have submitted a Type 2 change to their programme following a programme revision.

Recommendation A119.19: That Academic Board approves the changes to NZ3030 New Zealand Diploma in Building Surveying (Level 6), and the subsequent application to NZQA to have our accreditation updated to the new version of the programme of study.

Agreed: Oonagh/Leoni

Sue provided clarification on why OP was required to put in the application with Future Skills. Future Skills delivers the programme on our behalf to the students who are also our students. We have been involved in the Type 2 changes with Future Skills who have undergone significant changes to the programme. OP and Future Skills are the only institutions who offer this qualification and is mainly to building inspectors and builders already in work. With Future Skills putting in their application, OP need to put in an application to get their changes approved for our delivery.

9. A120.19 EduBits for noting

This is the micro-credentialling service we have launched and been running for 18 months. We are New Zealand's lead organisation in this space and we have significant purchase internationally with the global polytechnic alliance both in Denmark and Canada. We currently have 120 EduBits available. This is tracking well but not as fast as we would like and we are currently recalibrating our approach to redirect into two areas B2B and B2C (business to consumer/customer). Our Canadian partners are very supportive of the programme and looking at match funding. Phil was recently in Copenhagen discussing EduBits with University College to take to market. We aim to see significant growth, uplift and return on investment in six to 12 months.

Perceptorship in Nursing - It was identified the title and wording in the rationale was unclear and suggested rewording of both.

Action: Ian and Trish to make review Perceptorship in Nursing EduBit wording and bring changes to document back to next meeting.

10. Programme Approvals Committee (PAC)

It was noted there was no Programme Approvals Committee meeting in September and no minutes to present to Academic Board.

11. 2020 Student Rights & Responsibilities, T&C and Fees

It was noted this item was presented this morning for discussion. This doesn't allow Academic Board members enough time to review the meeting and was recommended to either take to e-meeting. Learner right and responsibilities have some errors which need corrected. The Policies are management policies and only need to come to Academic Board for noting and not approval. The Terms and Conditions go with both the Policies and all need checked. The Learner Fees need to be checked with Finance.

Action: Sue and Trish to work through each document and address with appropriate people to close out and respond back to Academic Board the outcomes/recommendations.

Action: Learner rights and responsibilities will be coordinated by Sue and Trish to seek feedback from Academic Board members.

Action Summary

Who	What	When
Lynn	A113.19 E-meeting AB minutes 30 September 2019 Add the justification from the Chair on the E-meeting minutes.	By next meeting
Lynn / Leoni	A101.19 Research Performance Measures for Degree-teaching teams 1. Remove words 'day-to-day' from the minutes 2. To develop communication that clarifies all elements of workload that is the core job.	By next meeting Academic Issues Forum 14 November
Oonagh / Lynn	Education Vocational Education and Training Reform 1. Lynn to ensure link to the Bill in the reform document works and resend to Board members. 2. Oonagh to draft a document, send to Academic Board members for review before end of week as a collective submission.	10 October 2019
Oonagh	Moderation of Assessment Policy Oonagh to check with Phil status of the Policy.	By next meeting
Glenys	A115.19 Leadership for Change request for oral assessment Action: To provide the following: 1. A fuller rationale which represents the views of all those who have contributed to the discussion until this point 2. Full notes from the Capable NZ Committee 3. Information, as requested by the CE, which clearly indicates this practice in other TEIs 4. Full information detailing how rigor will be met and maintained in the proposed final assessment 5. Part of the clarification is thinking through and addressing the unintended consequences of engaging with the request to orally assess 6. What are the implications for Policy programme regulations including weightings for oral versus written work for final assessments, and how can/do we address this?	By next meeting
Oonagh	A116.19 Elected members for Academic Board 1. Request policy change to Academic Board membership with the current changes from OPAIC. 2. To put election membership on agenda in February 2020 to review situation subject to NZIST changes.	February 2020
Trish	A118.19 Type 1 approvals Contingent on Trish receiving a response to address the issues provided, the Academic Board will approve.	By next meeting
Ian / Trish	A120.19 EduBits for noting Ian and Trish to make review Perceptorship in Nursing EduBit wording and bring changes to document back to next meeting.	By next meeting
Sue / Trish	2020 Student Rights & Responsibilities, T&C and Fees 1. Sue and Trish to work through each document and address with appropriate people to close out and respond back to Academic Board the outcomes/recommendations. 2. Learner rights and responsibilities will be coordinated by Sue and Trish to seek feedback from Academic Board members.	By next meeting

Meeting closed 11.40am

Next meetings

- 13 November 2019 face-to-face meeting
- 14 November 2019 Academic issues forum – Leoni Schmidt, OP Research Update and ITP National Research Futures
- 10 December 2019 face-to-face meeting (if required)

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM:	STUDENT COUNCIL
PURPOSE:	Attached are the minutes of the Student Council meeting held on 23 October 2019.
PRESENTED BY:	Nathan Laurie
RECOMMENDATION:	For noting.



Student Council Meeting

Wednesday 23 October 2019

12.00pm to 1.00pm

F134, Forth Street Dunedin

Present Nathan Laurie (Convenor / Applied Management)
 Kristy Brown (OPSA Advisory Board / Nursing)
 Chris Morland (DCE Learner Experience)
 Brayden Murray (Director Learner Services)
 Patricia Quensell (Learner Services)
 Ronda McLaren (Learner Experience)

Apologies Katherine Inder (Des-Fashion)
 Sarah Baines (Des-Communications)
 Yan Chau (BIT)

RoVE	Nathan is on the Education Products and Services work group. He met with Helen Kilber, Principal Advisor for NZIST Establishment Unit to discuss current/future state. Nathan has/is lining up a number of meetings with staff. Chris commented his role will be to bring the student voice to the fore from across the sector.
Student Council role NZIST	Discussed Student Council TOR in relation to the Education Act amendment that may change student representation under NZIST. Chris Morland recommended the status quo until 1 April 2020 - AGREED.
Library	Discussed - <ul style="list-style-type: none"> • book ordering process through Lecturers ⇨ College Representatives ⇨ Library • disability support is provided on a case by case basis ⇨ discuss with The Robertson Library and Learner Services • no space/seats/group rooms available in Robertson Library. This is usual for exam time; however, ChrisM can raise through the Joint Library Committee
Course Related Costs	Proposal for support fund to which students can apply in extreme circumstances, e.g. nursing uniforms and placements <ul style="list-style-type: none"> • Student Hardship Fund is available; however, application for course related costs are often declined as they are known expenses when you enrol • TEC have been lobbied on this matter, with comprehensive data including case studies • Nathan may wish to raise through his NZIST working group
North Dunedin Street Clean-up	An estimated 2,500 students participated in the mass clean up. Nathan attended OUSA meeting to discuss making a regular event. Skips are arranged for end of year, Lesley has skip location map and dates.
Student Safety and Well-being	In response to Nathan's comment around OP response to the UOO student passing away; <i>post meeting</i> it was noted that a notice was placed on the Student Hub informing support services available to students and a similar e-mail sent to all students the following day. Health and Wellbeing representatives visit classes at year start and mid-year; however, students tend to only seek them out if they need to.
Moodle	Deferred
Next Meeting	Thursday 31 October - Student Council Staff Awards

OTAGO POLYTECHNIC COUNCIL PAPER	
OPEN AGENDA	DATE: 1 NOVEMBER 2019
ITEM:	STAFF SUBCOMMITTEE MINUTES
PURPOSE:	Attached are the minutes of the Staff Subcommittee meeting held on 26 September 2019.
PRESENTED BY:	Jono Aldridge
RECOMMENDATION	For noting.

Staff Sub-committee of Council

Thursday 26 September 2019

8.30 am - 9.30 am

F 215, Mason Centre, Forth Street, Dunedin

Present:

Jono Aldridge (Chair)	Mary Butler
Kathryn van Beek	Ian Barker
Michelle Watt	Megan Gibbons (ELT rep)
Karole Hogarth (late)	Stuart Terry
Phil Osborne	Jacquie Hayes
Ray O'Brien	Kim Reay (via Skype)
Emma Wallace	

Apologies: Barbara Dunn, Philip Ballard, Sheena Roy, Lisa Burton.

Minutes: Paula Petley

In attendance: Shaun Tahau; People and Culture team.

1. Apologies and attendance	Apologies accepted.
2. Welcome to new members.	Jono welcomed new members Ray O'Brien and Emma Wallace and thanked them for their applications. Welcome also to Megan Gibbons as the ELT representative.
3. Minutes of previous meeting	Moved that the minutes be accepted as a true and correct record, with the addition of the date of the climate hikoi: Jacquie Hayes. Seconded: Kathryn van Beek
4. Matters Arising	<p><u>Staff with Disabilities</u> Discussion on follow-up to Carolyn's visit. Megan to look into where Disability and Equity Committee sits, and we will update Carolyn.</p> <p>Registers of staff with disabilities already exist and are kept with Fire Warden armbands to assist in evacuations. There needs to be a check across all schools and service areas to ensure consistency. To be followed up with Andy Westgate.</p> <p><u>Good Yarns</u> A large number of staff have been through the workshops. Further training coming up, information is on Tuhono.</p> <p><u>Terms of Reference</u> Megan noted there are likely to be opportunities for staff and student representation under the new subsidiary board structure. Jono will enquire and report back.</p>

	<p><u>Climate Hiko</u> Friday 27 September. A group will leave from OP, join with University staff and students and head to the Octagon.</p> <p><u>Tertiary Precinct</u> Public sessions have been cancelled although information boards are still in the Hub.</p> <p><u>WES</u> Finish date has been extended to Friday 4 October.</p> <p><u>Rainbow Lens</u> Stuart reported that this event was well attended.</p>
<p>5. Māori Language Strategy and Te Reo for the Workplace (Shaun Tahau)</p>	<p>Shaun Tahau attended the meeting to update on the Māori Language Strategy and Te Reo Māori in the workplace.</p> <p>Reference the Te Puni Kokiri Māori Language Strategy.</p> <p>Te Mana o Te Reo. Learners proficient in Te Reo. Some OP policies state that students can submit work in Te Reo, this is dealt with on a case by case basis. Shaun would like to improve on this and have more support in place for learners wishing to work in Te Reo.</p> <p>Shaun noted he could not find any other examples of tertiary Māori language strategies. With no baseline to draw measures from, OP has started from scratch, looking at what we are currently doing and what is aspirational. OP likely to be the first tertiary institute with a Māori language strategy.</p> <p>Some challenges with cultural and dialectical differences between Kai Tahu and Ngati Whatua, and other rohe OP operates in e.g. Hamilton.</p> <p>OP needs advocates for the language, and leadership from committees like Staff Sub-committee to the wider staff.</p> <p><u>Edubits</u> A goal has been set of 80% of all staff gaining the Te Reo Māori in the Workplace Edubit by 2022. This target is achievable. Shaun and KTO team looking to create a safe and positive environment where people can learn. Shaun outlined the requirements for the Edubit. Kupu can be contextualised to suit teams and work areas.</p> <p>Staff that have already done the Certificate in Te Mata O Te Reo Māori can also do the Edubit as it is a recognition of prior learning. We are no longer able to offer this Certificate as it has been discontinued as a result of TROQ.</p>

	<p><u>Karakia</u> ELT use karakia to open and close meetings; Shaun encourages teams to do this also.</p> <p><u>Pronunciation</u> Sound bites and translations are available on the KTO page on Tuhono.</p> <p>Contact Shaun for further information or if there are any questions.</p> <p><i>(Mary left the meeting at 9 am).</i></p>
6. Ka Kororero (Jan Hudson and People & Culture Team)	<p>Jan Hudson and the People and Culture business partners team (Laura Warren, Ellie Waide, Lauren Auty, Michaela Fleury) attended to present an update on Ka Kororero – team based performance feedback.</p> <p>The Business Partners introduced themselves and which Schools and Service Areas they work with. Changes to the P&C team has meant the team can provide more support across the Polytechnic.</p> <p>Jan has been involved with project management behind the setup of 'self leading teams' for several years and has enjoyed working with the team to get it to this point.</p> <p>Jan outlined the steps in the process, starting with the TPP. It is recommended staff use the private log to record information throughout the year to inform the review, rather than relying on memory at the end of the year.</p> <p>The key components are a clear process, preparation, quality feedback given in a safe environment.</p> <p>Jan and the P&C team will be available to do training with teams and formal leaders. Note that this process does not replace individual performance reviews which still happen with the formal leader.</p> <p>There is variation across the organisation in terms of staff belonging to more than one team, working part time or casual etc. Staff need to decide where their primary feedback will come from.</p> <p>Information is on the People and Culture page on Tuhono.</p>
7. Updates	Nil.
8. Any Other Business	Nil.
9. Next meeting and agenda items	31 October. Notify agenda items to Jono.
Close	Meeting closed 9.41 am.



Otago Polytechnic Council

BOARD PACK

for

Otago Polytechnic Council - Closed

Friday, 1 November 2019

9:00 AM

Held at:

Puna Kawa

Level 2, Mason Centre
Otago Polytechnic
Forth Street
Dunedin

Version 2

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