Otago Polytechnic Council

BOARD PACK

for

Otago Polytechnic Council - Open

02 Nov 2018 12:30 PM

Held at:

Puna Kawa

Level 2, Mason Centre
Otago Polytechnic
Forth Street
Dunedin

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Agenda

Attached Documents:

AGENDA
OTAGO POLYTECHNIC COUNCIL - OPEN

Name:	Otago Polytechnic Council
Date:	Friday, November 2, 2018
Time:	12:30 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, Peter Coolbear
Apologies:	Darren Evans, Megan Potiki, Mike Horne, Paul Allison
Guests/Notes:	In attendance:
	Jono Aldridge (Convenor, Staff Subcommittee), Jo Brady (Deputy Chief Executive, People, Performance and Development), Jeanette Corson (Secretary to Council), Philip Cullen (Deputy Chief Executive Corporate Services), Jordan Dargaville (Convenor, Student Council), Janine Kapa (Deputy Chief Executive, Māori Development/Kaitohutohu, Phil Ker (Chief Executive), Oonagh McGirr (Deputy Chief Executive, Learning and Teaching Services)

1.   PROCEDURAL

1.1   Apologies

Paul Allison, Darren Evans, Mike Horne, Megan Potiki

RECOMMENDATION

That the apologies be accepted.

1.2   Conflict of interest

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.

Supporting Documents:

1.3   Confirm Minutes

RECOMMENDATION

That the minutes of the open section of the meeting held on 5 October 2018 be approved as a true and correct record.

Supporting Documents:

1.4   Matters Arising

2.   REPORTS

2.1   Chair (verbal)

2.2   Chief Executive

Supporting Documents:

3.   POLICIES FOR APPROVAL

3.1   Policies for Approval

The following policies have been reviewed by the Finance and Audit Committee

- CP0014.02 Internal Audit
- CP0010.04 Fraud Prevention and Response
- Fraud Control Plan
- CP0015.01 Risk Management

RECOMMENDATION

That the Council approves the revision of the above policies.

Supporting Documents:

4.   MATTERS FOR NOTING

4.1   Council Calendar

Supporting Documents:

4.2   Executive Leadership Team Interests Register

Supporting Documents:

4.3   Academic Board Minutes

- 11 September 2018

- 19 September 2018

Supporting Documents:

4.4   Student Council Minutes

- 2 October 2018

Supporting Documents:

5.   CLOSE MEETING

5.1   Meeting Closed

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

OTAGO POLYTECHNIC COUNCIL
INTERESTS REGISTER

Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Paul ALLISON	20-04-18	1. Life Trustee – Halberg Disability Sport Foundation 2. Trustee – Winter Games NZ 3. Sports Commentator – NZME 4. Lion Foundation – South Island Regional Grants Committee 5. Independent Director - University Bookshop (Otago) Ltd 6. Director - Waitaki District Health Services Ltd 7. Trustee – Waitaki District Health Services Trust	Nil
Neil BARNS	09-07-17	1. Board Chair – Otago Polytechnic Auckland International Campus 2. Director/Shareholder Neil Barns Consulting Limited 3. Partner – Barns-Davis Orchard Partnerships	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	1. Co-owner and director: Coolbear Ltd - Information Management and Tertiary Education Consulting 2. Member, NZQA Consistency Review Panel	
Darren EVANS	06-08-16	Chief Operating Officer, Calder Stewart Group Spouse: Part time employee of Otago Polytechnic, Project Manager, Business Development	Calder Stewart Group is a Customer of CapableNZ and potential supplier

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Kathy GRANT	04-09-18	1. Dunedin City Holdings Ltd (Director) 2. Trustee of numerous private trusts 3. Gallaway Cook Allan (Associate) 4. Dunedin City Treasury Limited (Director) 5. SDHB (Commissioner) 6. Dunedin Stadium Property Limited Spouse: 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	
Michael HORNE	02-02-18	1. Deloitte Limited 2. Best View Limited 3. City Forests Limited 4. Ellis Fibre Global Limited 5. Ellis Fibre NZ Limited 6. Escea International Limited 7. Escea Limited 8. Hunterfields Investments Limited 9. Greenbriar Limited 10. Otago Museum Trust Board (Treasurer) 11. Palmer & Son Limited 12. Palmer Resources Limited 13. Palmer MH Limited 14. Palmers Mechanical Limited 15. PDS (Computer Services) Limited 16. Prospectus Nominees 17. Prospectus Nominees Services Limited 18. Rawhiti Road Investments Limited 19. Viblock Limited 20. Ashburn Hall	1. Potential supplier 10. Potential customer Others: Nil

Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Bill MORAN	02/07/18	1. Director, Pioneer Energy 2. Chair and Director, Sport and Recreation New Zealand 3. Chair and Director, High Performance Sport New Zealand 4. Director, Youthtown 5. Trustee, New Zealand Dementia Prevention Trust 6. Trustee, New Zealand Football Foundation 7. Trustee, Olive Leaf Centre Trust 8. Advisory Trustee, School of Government, Victoria University of Wellington 9. Advisory Trustee, Play It Strange Trust 10. Director, Aspen Initiative New Zealand Other 1. Independent Chair, Parliamentary Appropriations Review Committee (Mar-Aug 2018) 2. Independent adviser, Crest Hotel, Queenstown	Nil
Megan POTIKI	26/06/17	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.	3. Potential supplier

DRAFT MINUTES

OTAGO POLYTECHNIC COUNCIL - OPEN

Name:	Otago Polytechnic Council
Date:	Friday, October 5, 2018
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, Darren Evans, Megan Potiki, Paul Allison, Peter Coolbear
Apologies:	Neil Barns, Mike Horne
Guests/Notes:	In Attendance:
	Jono Aldridge (Convenor, Staff Subcommittee), Jo Brady (Deputy Chief Executive, People, Performance and Development), Jeanette Corson (Secretary to Council), Philip Cullen (Deputy Chief Executive Corporate Services), Jordan Dargaville (Convenor, Student Council), Janine Kapa (Deputy Chief Executive, Māori Development/Kaitohutohu, Phil Ker (Chief Executive), Oonagh McGirr (Deputy Chief Executive, Learning and Teaching Services)

1.   PROCEDURAL

1.1   Apologies

Apologies had been received from Neil Barns, Mike Horne, Jono Aldridge and Jordan Dargagille.

RECOMMENDATION

That the apologies be accepted.

AGREED.

1.2   Conflict of interest

No conflicts were declared in relation to any item on the open agenda.

1.3   Confirm Minutes

RECOMMENDATION

That the minutes be confirmed as a true and correct record of the open section of the meeting held on 3 August 2018.

AGREED.

1.4   Matters Arising

There were no matters arising.

2.   REPORTS

2.1   Chair (verbal)

Mrs Grant had nothing to report.

2.2   Chief Executive

Mr Ker reported on his attendance at the Postsecondary International Network conference hosted by Yavapai Community College in Arizona. He had delivered a presentation on micro-credentials and the Otago Polytechnic EduBits service, and reported that there was considerable interest in what is being done specifically at Otago Polytechnic.

Janine Kapa had also presented on Otago Polytechnic's responsiveness to Māori educational aspirations, focusing on the Polytechnic's relationship with Rūnaka and the implementation of the Māori Strategic Framework.

A highlight for Mr Ker was the session on mental health of tertiary students, and in particular, youth suicide, which is one of the most significant issues in postsecondary education worldwide. There were several takeaways which Mr Ker will be exploring with staff generally and learner support specifically, over the next few weeks; that an effective response to student mental health issues requires a whole of organisation approach and cannot be simply a dedicated support service. Two strategies were recommended and both would be considered; to train staff generally in "mental health first aid", and a peer support strategy in which those who had effectively managed their own mental health issues were available to support those in need.

Mr Ker considered that it would be worthwhile taking a group of Otago Polytechnic staff to visit both the Iron Range Engineering programme in Minnesota and Yavapai College which regularly sponsors speakers on topical issues.

Coverage of the Baldridge Award was noted in the media report. Mr Ker advised that he had proposed the establishment of an Ako Aotearoa institutional excellence award as part of the Tertiary Teaching Excellence Awards process.

3.   POLICIES FOR APPROVAL

3.1   Policies for Approval

Policies

The following policies had been reviewed by the Finance and Audit Committee and recommended to the Council for approval:
- CP0006.07 Council Honours Awards
- CP0003.05 Management Reporting of Contracts to Council.

Changes to MP0487.00 Critical Incident and Emergency Management were endorsed by the Council.

RECOMMENDATION

That the Council approves amendments to policies CP0006.07 Council Honours Awards and CP0003.05 Management Reporting of Contracts to Council.

AGREED.

Decision Date: 05 Oct 2018
Outcome: Approved

4.   MATTERS FOR NOTING

4.1   Council Calendar

Mrs Grant proposed that the meeting on 2 November commences at 8.00am. Apologies had already been received from Darren Evans, Megan Potiki and Paul Alison.

4.2   Executive Leadership Team Interests Register

The Executive Leadership Team Interests Register was noted.

4.3   Academic Board Minutes

Minutes of the Academic Board meetings held on 10 July and 28 August 2018 were noted.

Ms McGirr advised that the Board was looking at its interaction with the Programme Approvals Committee and was working through a resolution for fast approval time on programmes and courses using an electronic platform.

4.4   Komiti Kawanataka Minutes

Minutes of the Komiti Kawanataka meetings held on 5 July and 2 August 2018 were noted.

4.5   Student Council Minutes

Minutes of the Student Council meetings held on 7 August and 4 September 2018 were noted.

4.6   Staff Subcommittee Minutes

Minutes of the Staff Subcommittee meetings held on 31 May, 5 July, 2 August and 6 September 2018 were noted.

5.   CLOSE MEETING

5.1   Meeting Closed

Next meeting: Otago Polytechnic Council - Open - Friday, 2 November 2018, 12:30 PM

Signature:_____   **Date:**_____

CHIEF EXECUTIVE'S REPORT

Global Polytechnic Alliance
Otago Polytechnic, Humber College (Canada), and VIA University College (Denmark) recently signed a three-way agreement establishing the Global Polytechnic Alliance (GPA).

The GPA will provide new learning and collaborative opportunities for students and staff while strengthening the understanding of the benefits of polytechnic education across the globe.

Senior executives from Humber and VIA spent two days at the Dunedin campus learning about OP's innovation education practices, before visiting the Central Campus and the Auckland International Campus.

Summarised Finance Report for the period ended 30 September 2018
The following table provides an overview of Otago Polytechnic's 2018 financial performance to date and compares this against the draft forecast with variances.

September 2018	2018 Year to Date Actual	2018 Year to Date Forecast	Variance
	($000s)	($000s)	($000s)
Revenue	$ 83,945	$ 81,757	$ 2,188
Expenditure	$ 77,844	$ 76,610	$ (1,234)
Net Surplus	$ 6,101	$ 5,147	$ 954
Capital Expenditure	$ 12,270	$ 13,519	$ 1,249
Employment Cost as a percentage of revenue	45.0%	46.4%	1.4%
Student Fees as a % of revenue	45.1%	44.2%	(0.9)%
Government Funding as a % of revenue	41.5%	42.1%	0.5%
Working Capital	40.7%	43.8%	(3.0)%
Cash In/Cash Out	116.2%	121.4%	(5.2)%
Net Monetary Assets (000's)	$ (774)	$ 2,950	$ (3,724)
Debt / Equity Ratio	0.9%	0.0%	(0.9)%
EFTS	5,455.5	5,397.3	58.2

Key Points:

- The net operating profit of $6,101k is favourable to forecast by $954k. Some of this variance is due to the share of OPAIC profit being higher than YTD forecast. The remainder of the variance is timing at this stage.

- Capex is lower than forecast to date by a net $1,249k with the majority of categories behind on spend compared with YTD forecast
- EFTS enrolments at 5,456 exceed the YTD forecast of 5,397 with continued strong international enrolments as well as strong second semester domestic enrolments. We are currently sitting at 105.6% of our original Mix of Provision Cap in the SAC3+ pool. We have had confirmation from TEC that all EFTS will be funded up to 109.5%

Media Report

Attached is a report from Shane Gilchrist, Media Liaison.

External Liaison

- World Federation of Colleges and Polytechnics Congress, Melbourne
- Global Polytechnic Alliance visit - delegates from Humber College, Toronto and VIA University College, Denmark
- Unveiling of Nga Kete
- Ako Aotearoa Working Party – Awards, Wellington
- TANZ Accord meeting, Wellington
- TANZ eCampus meeting, Wellington
- iamcapable Board meeting, Auckland
- OPAIC Board meeting, Auckland
- Guest Speaker, Otago Chamber of Commerce Leadership Academy
- Shanghai University of Engineering Science 40th Anniversary Celebrations, Shanghai

RECOMMENDATION

That the Council receives this report.

Phil Ker
Chief Executive

A summary of Otago Polytechnic external media activity, from September 26-October 25. Produced by Shane Gilchrist, Media Liaison.

- **135** news items
- Coverage reached a cumulative audience of **3,401,903**
- Newspapers had the highest volume of coverage (**66 items** or 48% of the total volume of coverage)
- Newspapers also reached the highest cumulative audience (2,419,067 or 68.8% of the cumulative audience)

Media Type Breakdown – Audience
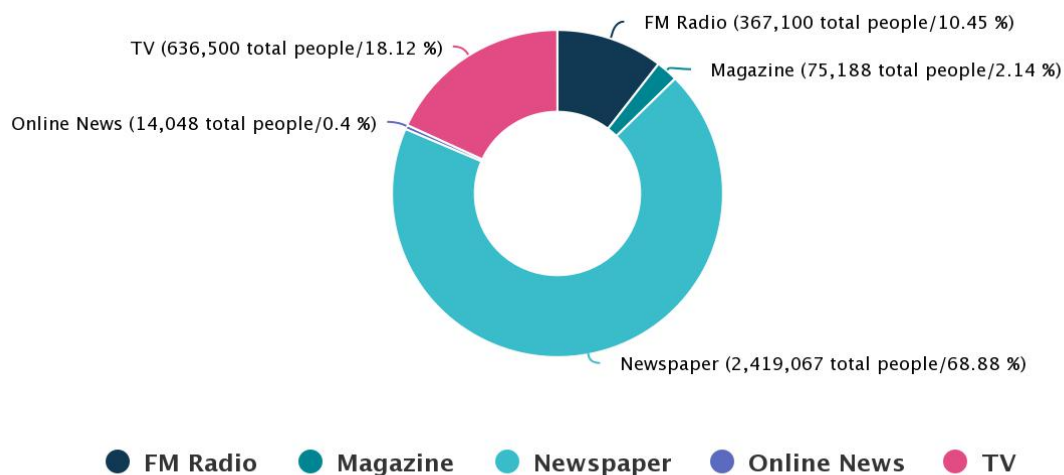
The range of articles over the past month has been broad: from news Otago Polytechnic is in a confident position, compared to other ITPs; to Otago Polytechnic Design students winning several national awards; to a large feature highlighting the innovation and sustainability principles that underpin Te Pā Tauira.

Examples:

SIT, Otago Polytech buck trend
Otago Daily Times by ELENA MCPHEE 09 Oct 2018 4:50 AM
Internet - NZ • ID: 1019547195
Ten polytechnics and institutes of technology around the country are predicted to record deficits this year, but the Southern Institute of Technology in Invercargill and Otago Polytechnic are confident of their performance, despite...

Otago Polytechnic students and graduates win several design awards
Otago Daily Times by ELENA MCPHEE 29 Sep 2018 4:31 AM
Internet - NZ • ID: 1015356205
From theatre backdrops to an edible garden, Otago Polytechnic students and graduates have claimed several prizes at a national design awards.

Awards salute Wildlife Hospital
The Star (Dunedin), Dunedin 25 Oct 2018
Photo: No • Type: News Item • NZ • New Zealand • Press • ID: 1027218539
The Wildlife Hospital Trust has taken top honours in Dunedin's Trustpower Community Awards. This week, voluntary groups from Dunedin and the Clutha District gathered with representatives from Trustpower, Dunedin City Council, Clutha District Council, and the community at the Toitu Otago Settlers Museum to hear how 18 groups and six young people are making an impact in their community.

It takes a village
Otago Daily Times 22 Oct 2018 3:32 AM
Internet - NZ • ID: 1025630772
Natural light floods in at myriad points. Photos: Visual Culture/Supplied
A colourful, vibrant home to 231 young people, T Pa Tauira-Otago Polytechnic Student Village is an innovative example of sustainability principles, writes Shane Gilchrist.
Audience

Say cheese — affineur course to launch next year
Otago Daily Times by Guy Williams 20 Oct 2018 4:32 AM
Internet - NZ • ID: 1024984475
Oamaru cheesemaker Whitestone Cheese is joining forces with Otago Polytechnic to create an online training academy for hospitality workers and cheese enthusiasts.
Audience
3,869 UNIQUE DAILY VISITORS, 53 UNIQUE DAILY VISITORS

WEBSITE (NEWS AND EVENTS SECTION)

There were more than 3.9k page reads in the past month. The overwhelming majority of readers spend nearly 1.5 minutes on our story pages.

The most popular item was a Beauty Therapy Clinic fundraiser for the Breast Cancer Foundation NZ, followed by an article about a Parents Open Day, and the blessing and unveiling of Michel Tuffery's sculpture, *Ngā Kete*.

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 has grown 1% to 11,124k.

The most popular post was about the blessing and unveiling of Michel Tuffery's sculpture, *Ngā Kete, at the entrance to* Otago Polytechnic's Hub, which enjoyed an organic reach of 7.4k, post clicks of 1.8k and reactions/shares/comments of 322.

INSTAGRAM

- 2194 followers; this continues upward trend of previous months.

LINKEDIN

Otago Polytechnic's main LinkedIn page now has more than 12.18k followers, reflecting steady growth on this channel.

OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0014.0~~3~~2
Title:	**Internal Audit**	
~~Baldrige Criteria~~Classification:	**Operations**	
Chief Executive Approval:	Effective Date: ~~3 November 2017~~2 November 2018	Review Date: **1 October 201~~9~~8**
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.

~~Background~~

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~~

Accountability

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

Responsibilities of the Finance and Audit Committee (FAC)

2. The FAC~~Committee~~ 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 ~~after due consideration of the risk assessments in relation to organisational internal controls of the Internal and External auditors and policy CP0010 Fraud Prevention~~

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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(COO) 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 CEO 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, Chief Operating Officer and the FAC will agree on a 3 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:

CP0014.02 Internal Audit_track changes

a. report in writing to the FAC and COO 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

- *CP0010 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: 3 November 20172 November 2018

CP0014.02 Internal Audit_track changes

OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0010.0~~5~~4	
Title:	**Fraud Prevention and Response**		
Classification:	**Operations**		
Chief Executive Approval:	Effective Date: 2~~3~~ **November 201~~8~~7**		Review Date: **1 Oct~~ober~~ 201~~9~~8**
Previous Policy No:	**n/a**		Status: **Current**
Contact Authority:	**Secretary to Council**		

Purpose

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

It also seeks to ~~To~~ ensure responsibility and awareness amongst ~~Otago Polytechnic~~ staff and Council by establishing ~~. To establish~~ an environment in which fraud concerns can be identified and readily addressed, and~~. To en~~able~~sure~~ compliance with internal control systems that are designed to minimise the opportunity for fraudulent behaviour and ~~. To~~ 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.

~~Applies to~~

~~All Council members, staff, students, onsite personnel and people in a business relationship with Otago Polytechnic. Otago Polytechnic will bring this policy to the attention of all staff at time of induction via People & Culture, will include it in business service agreements and will ensure that people are aware a copy of the policy is on the Otago Polytechnic website.~~

Statutory Compliance ~~Background~~

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.

~~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.~~

Definition~~s~~

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;

CP0010.03 Fraud Prevention.doc

- 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 forms or expense claims;

- 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 order 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

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. |
| **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.

1.2. 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.

2.3. Otago Polytechnic will not tolerate fraudulent activity, regards it as totally unacceptable, and will apply a principle of 'zero tolerance'.

3.4. Otago Polytechnic requires any allegation of theft or fraud to be subject to due process, equity and fairness.

4.5. All disclosures of dishonest or fraudulent practices will be treated seriously and investigated. All reported incidents of alleged fraud will be investigated |

CP0010.03 Fraud Prevention.doc

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.

5.6. 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.

6.7. Each manager 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.

7.8. 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.

8.9. Staff who may consider there are grounds for enquiry into fraudulent activity must advise their ManagerFormal Leader, or the Deputy Chief Executive, Corporate Services, Chief Operating Officer or the Director Business Services (Fraud Control Officer), immediately. Alternatively, disclosure may be made under the Protected Disclosures Act 2000 and subsequent amendments, Otago Polytechnic policy *CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing)* and associated Otago Polytechnic procedures.

Third parties and Otago Polytechnic employed contractors who commit fraud will also be subject to this policy.

9.10.   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.

10.11.   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.

11.12.   Key risk areas are as defined in the Otago Polytechnic's risk matrix and are informed by regular fraud risk assessment every three years.

12.13.   The 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 finance staff and external contractors. Outcomes from internal audit will be reported to the Finance and Audit Committee.

13.14.   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

14.15.   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, businesslike manner. Where legally able, Otago Polytechnic will disclose instances of proven fraud on inquiry.

15.16.   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, Performance and Development and ~~Directors/Managers~~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
	CP0010 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) ~~Student~~ Learner Rights and Responsibilities (as published on the Otago Polytechnic website)

Approved by Council
Date: ~~3 November 2017~~**2 November 2018**

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, ~~Chief Operating Officer~~ 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:

   a. 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.

   b. Fully document any investigation.

   c. 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.

   d. 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.

   e. 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.

   f. 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.

   g. All instances of fraud are to be recorded in the Fraud Register held at Finance and disclosed to the Finance and Audit Committee.

CP0010.03 Fraud Prevention.doc

Fraud Control Plan

(November~~October~~ 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.

Contents

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 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 forms or expense claims;

- 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 order 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~~ ~~Deputy Chief Executive Corporate Services / Chief Operating Officer~~ 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 ~~COO~~ Director Business Services)
- The Deputy Chief Executive Corporate Services ~~/ Chief Operating Officer~~
- Deputy Chief Executive People, 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;

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- 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.homershamphilip.cullen@op.ac.nz
Phone: 021941476735618
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.

3.5.2 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.

3.6 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 / 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~~Policy~~
- 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~~Student~~ 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

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CP0010_Fraud Prevention and Response_ SOP/001_Fraud Control Plan

Appendix B
Otago Polytechnic Fraud Control Responsibilities

Role	Fraud Control Responsibilities
Finance and Audit Committee	• 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	The Fraud Control Officer has principal responsibility for fraud control within the Polytechnic: This includes: • 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 ~~or routine~~ instances of fraud against the Polytechnic in consultation with the Deputy Chief Executive People, Performance and Development and Chief Operating Officer.

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Role	Fraud Control Responsibilities
Deputy Chief Executive Corporate Services/Chief Operating Officer	• 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.

Role	Fraud Control Responsibilities
Director: People and Culture	• 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	Formal Leaders must be vigilant to the possibility of fraudulent behaviour and to respond accordingly. Formal Leaders are required to ensure that: • 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	All Polytechnic staff shall: • 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.

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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

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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

Appendix E
Otago Polytechnic
Receiving Fraud or Corruption Allegations Form

Please complete this form and return to the Fraud Control Officer, Level 3, Forth Street. All correspondence will be kept confidential. Employees should note that Otago Polytechnic complies with the Protected Disclosures Act 2000.

Part A

Details of suspected fraud, corruption or serious and substantial waste
Name and details of people involved (Includes people both within and external to the organisation):
....
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....

Description of suspected fraud, corrupt conduct or serious and substantial waste:
(Includes: What happened? Where did it happen? When did it happen? How did it happen?)
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Completed by: .... Date: ....

CP0010_Fraud Prevention and Response_ SOP/001_Fraud Control Plan

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: CP0015.0~~0~~10
Title:	**Risk Management**	
Classification:	**Operations**	
Chief Executive Approval:	Effective Date: ~~6 Nov 2015~~2 **November 2018**	Review Date: ~~September 2016~~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;
- ~~To~~ ensure that risk management forms part of Otago Polytechnic's internal control and corporate governance arrangements.
  ~~. Risk management is the culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects within Otago Polytechnic's environment. Otago Polytechnic acknowledges that the adoption of a strategic and formal approach to risk management will improve decision making and enhance outcomes and accountability.~~

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.

~~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 directionsachieve operational and financial goals~~
- ~~manage its risks responsibly and in a timely manner~~
- ~~align to AS/NZS ISO 31000: 2009.~~
-

Scope

~~i.~~ ~~Otago Polytechnic recognises that it is obliged to systematically manage and regularly review its risk profile at a strategic, operational and project level. The Polytechnic has done this by developing a risk management and compliance framework that determines the process and identifies tools for realising its objectives. Not only does it wish to minimise its risk but also maximise its opportunities.~~

~~ii.~~ ~~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.~~

~~iii.~~ ~~The aim of this policy is not to eliminate risk, rather to manage the risks involved in all 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.~~

CP0015.00 Risk Management

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, lesson or minimise the risk.

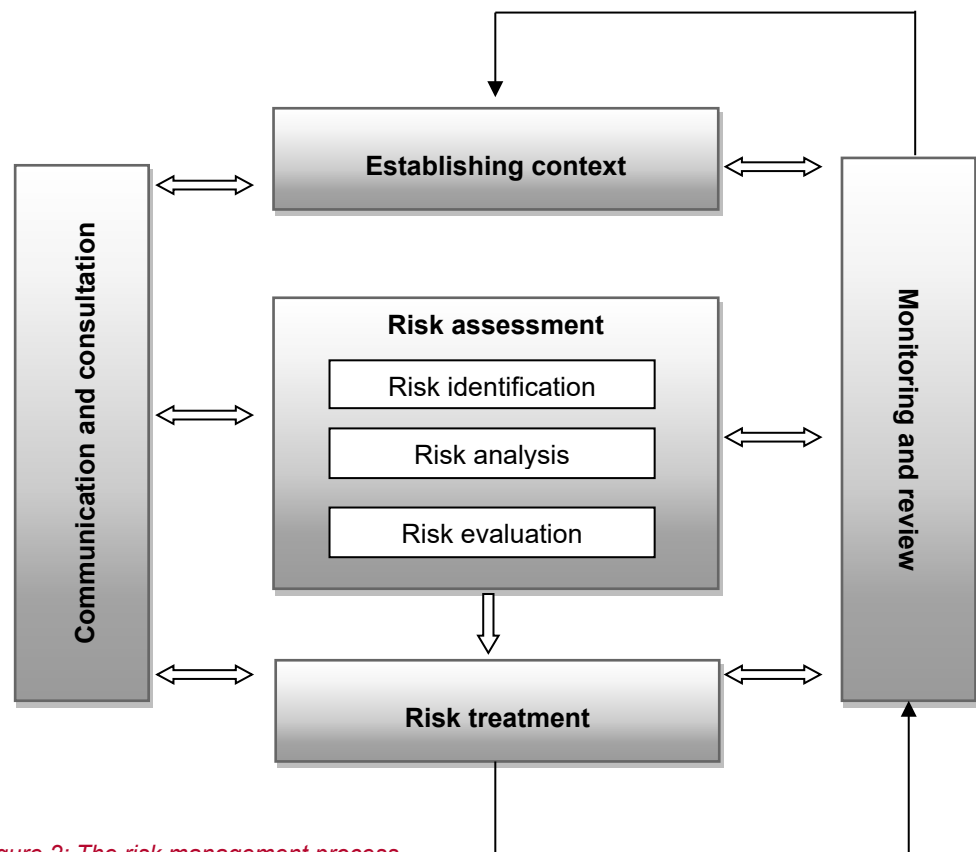**The Risk Management Process:** ~~illustrated in figure 2~~ based on ISO31000.

Figure 2: The risk management process

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.

~~1.~~4. The following key principles outline the Otago Polytechnic's approach to risk management:

~~1.1.~~4.1. The identification and management of risk is linked to the achievement of the Polytechnic's strategic goals.

CP0015.00 Risk Management

1.2.4.2.   Council is responsible for overseeing a sound system of internal control that supports the achievement of its Strategic and Investment Plans.

1.3.4.3.   The Polytechnic makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks.

1.4.4.4.   Review procedures cover reputational, strategic, operational, compliance and financial risk.

1.5.4.5.   Risk assessment and internal control are embedded in ongoing operations; business as usual.

1.6.4.6.   The Chief Executive, Executive Leadership Team, Heads of School/College and Managers of Service Areas are responsible for encouraging and implementing good risk management practice.

1.7.4.7.   Council will review each year the risk management policy and the risk management framework which includes the risk evaluation criteria and reporting processes.

1.8.4.8.   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.

2.5. Responsibility for Risk Management

2.1.5.1.   **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.

2.2.5.2.   **Council:** 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).

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

2.4.   **Chief Executive:** The Chief Executive is accountable for ensuring a risk management system is established, implemented and maintained in accordance with the policy. Subject to clauses 4.2.5, 4.2.6 and 4.2.7 responsibility in relation to risk management shall be determined by the Chief Executive.

2.5.5.4.   **Executive Leadership Team:** Leadership team members are accountable for strategic and operational risk assessment, management,

CP0015.00 Risk Management

monitoring and reporting areas under their control, including the devolution of the risk management process to operational managers. ~~Specific requirements are detailed below in 4.2.6~~

~~2.6.~~5.5.   **Specific Managerial Roles:**

a. The <u>Deputy Chief Executive Corporate Services,</u> ~~Chief Operating Officer~~ will develop and promote risk management within the Polytechnic<u>, and is</u> ~~. The Chief Operating Officer is~~ responsible for the implementation of this policy, maintaining a programme for risk assessment and compiling the governance strategic risk register.

b. The <u>Deputy Chief Executive Corporate Services,</u> ~~Chief Operating Officer~~ will be accountable for the prudent recognition, disclosure and management of financial 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 ~~Organisational Development~~<u>People and Culture</u> will be accountable for the prudent recognition disclosure and management of occupational health and safety risks, employment risks, and payroll risks.

d. The ~~Director Learning Environment~~ <u>Chief Information Officer</u> 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 <u>Executive</u> 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<u>/College</u> ~~-~~specific academic matters, employment and structural matters, ~~and~~ Treaty of Waitangi<u>,</u> and equity risks.

f. All other ~~managers~~ <u>Directors</u> 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.

~~2.7.~~5.6.   **Finance<u>,</u> Heads of School<u>/College</u> ~~-~~and ~~Service Area~~ <u>Directors</u> ~~Managers~~**

Heads of School<u>/College</u> and ~~Service Area Managers~~ <u>Directors</u> 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. c)   Embed risk management activities as part of their everyday activities.

Process   ~~Risk Management is embedded into the fabric of the Polytechnic's activities. Risk management strategies are included in several different policies and procedures. Additionally there is an overarching requirement that all employees are aware of potential risks in their areas of expertise and that they actively work to minimise and mitigate these risks.~~

6.   A governance strategic risk register has been developed and will be reviewed and reported on monthly by portfolio owners and members of the <u>Executive</u> Leadership Team and considered by the Chief Executive and Council.

~~2.8.~~6.1.   ~~-~~In addition, a financial risk register will be completed by the <u>Deputy Chief Executive Corporate Services,</u> ~~Chief Operating Officer~~ and will be reviewed monthly by the Finance and Audit Committee.

CP0015.00 Risk Management

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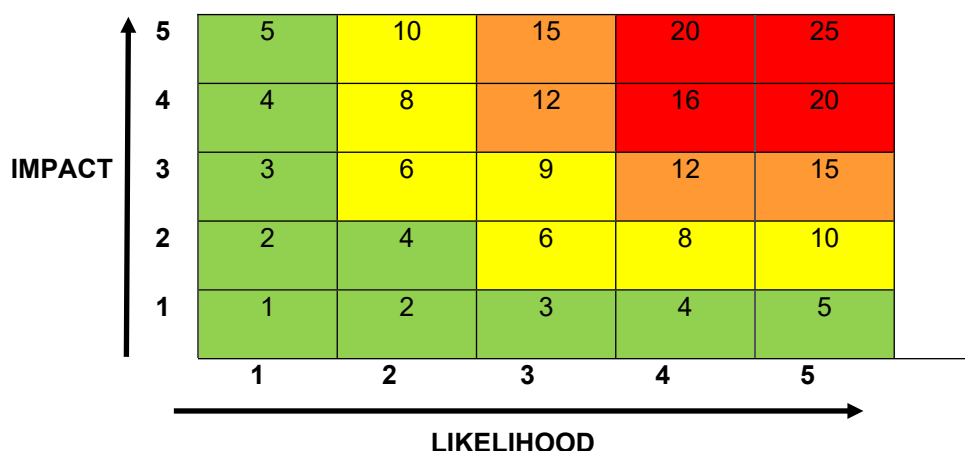
3.9. Actions taken will depend on the overall risk rating and need to be in accordance with the risk evaluation table (e.g. very high rated risks require immediate action and low rated risks require noting only).

CP0015.00 Risk Management

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 to15	High Risks	Needs Regular Monitoring
6 to10	Medium Risk	Review where necessary
1 to 5	Low Risk	Note

4.10.   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.

Related Policy, Forms and Documents	CP0007 Legislative Compliance
	CP0008 Sensitive Expenditure
	CP0010 Fraud Prevention and Response
	CP0014 Internal Audit
	Risk Matrix Template

Approved by Chair of Council
Date: 2 November 20186 November 2015

CP0015.00 Risk Management

Appendix One
Example Strategic Risk Register

<table>
<tr><td>
Otago Polytechnic
Governance Strategic Risk Register
July 2015
</td></tr>
</table>

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 Orgnisational Development (D:ODV), Chief Executive (CE), Chief Operating Officer (COO)

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.

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COUNCIL CALENDAR 2018 - 19

Meeting/Event	Nov	Dec	Jan 2019	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Audit Process												
Interim												
Signoff												
Forecast												
Budget												
Council Meeting Fridays	2 Nov	7 Dec Placeholder		1 Feb	1 Mar	5 April	3 May Placeholder	7 June	5 July	2 Aug	6 Sept Placeholder	
Departmental Visits												
Evaluation - Review - Report												
Function		14 Dec										
Photo												
Fees Set												
International									5 July			
Domestic												Oct
Finance and Audit Ctee	1 Nov	6 Dec	31 Jan	28 Feb		4 April	2 May	6 June	4 July	1 Aug	5 Sept	
Graduation		14 Dec			8 Mar							
Maori Pre-Grad		13 Dec			7 Mar							
Komiti Kawanataka Thurs at 8am	1 Nov	6 Dec	31 Jan	28 Feb		4 April	2 May	6 June	4 July	1 Aug	5 Sept	

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Meeting/Event	Nov	Dec	Jan 2019	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Investment Plan Draft												
Approval												
Report												
Risk Management Review Policy												Oct
Strategy Workshop Approval												
OP Events	Showcases (see below)											
	30 Nov 12.30pm Long Lunch	1 Dec Opening of Brewery in Cromwell	31 Jan Annual staff meeting								2 Sept OP Spring Breakfast	
	Charity House Auction 24 Nov L Block, Anzac Avenue	7 Dec Staff Christmas Party										

STUDENT SHOWCASES

DIGITAL PHOTOGRAPHY Exhibition 5 – 11 November, The Hub, Forth Street

BUSINESS AND TOURISM Showcase 12 – 14 November, The Hub, Forth Street

INFORMATION TECHNOLOGY Showcase 23 November, D Block, Harbour Terrace

FASHION SHOW COLLECTIONS 23 November, The Hub, Forth Street

NATURAL RESOURCES Open Day 24 November, L Block, Anzac Avenue

DESIGN EXHIBITION DEBRIEF 21 – 25 November, The Hub, Forth Street

ART SITE 24 – 29 November, Dunedin School of Art

2

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 CP0012.02 Conflict of Interest.

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
31 January 2017	Jo Brady	Board Member, Te Au Turoa Dunedin Wildlife Hospital	None		
7 March 2016	Philip Cullen	City College Trustee Cliffs Road Trading Board Member: – OP Auckland International Campus Ltd	OP is 1/3 shareholder Potential only		
2 February 2018	Janine Kapa	Board Member: – Otago Boys' High School – Otago Youth Wellness Trust – A3 Kaitiaki Ltd – KUMA (Southern Māori Business Network) Member, Kāti Huirapa Rūnaka ki Puketeraki (whānau)	Feeder school/possible competitor Potential only Potential for similar clientele Potential for bias	Pecuniary Non-pecuniary Pecuniary Non-pecuniary	Proceed with: • caution & sensitivity • honesty & integrity

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
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 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 Possible bias Personal interests	Pecuniary Non-pecuniary Both	Transparency Non participation re OP candidates OP Policy
13 June 2017	Oonagh McGirr	None			
2 February 2018	Chris Morland	SIGNAL ICT Grad School Ellen Morland, OP staff member spouse	Possible competitor Personal interest	Pecuniary Both	Transparency OP Policy

Academic Board

Minutes of the *electronic* Academic Board meeting held on 11 September 2018

Responses from

1.	Lesley Smith (moved)	Approve 11/09/2018 9.18am
2.	Linda Kinniburgh (seconded)	Approve 11/09/2018 9.34am
3.	Ian Crabtree	Approve 11/09/2018 9.37am
4.	Janine Kapa	Approve 11/09/2018 10.10am
5.	Sue Thompson	Approve 11/09/2018 10.40am
6.	David McMaster	Approve 12/09/2018 6.55am
7.	Megan Gibbons	Approve 12/09/2018 8.19am
8.	Brayden Murray	Approve 12/09/2018 9.46am
9.	Marc Doesburg	Approve 12/09/2018 11.19am
10.	Sam Mann	Approve 13/09/2018 8.36am
11.	Oonagh McGirr	Approve 13/09/2018 1.59pm

Quorum (10) achieved 13/09/2018

1. **Previous Minutes A75.18_eAB_28August2018 and A76.18_F2F discussion notes summary_5July_2August2018**

   Recommendation A75.18: That Academic Board approve the minutes of 28 August 2018 as a true and correct record.
   Agreed: Lesley Smith / Linda Kinniburgh

   Recommendation A76.18: That Academic Board note the summary discussion notes from face to face meetings of 5 July and 2 August 2018.
   Agreed: Lesley Smith / Linda Kinniburgh

2. **A77.18 Type 1 Changes, Concurrent Enrolments and Certificate of Proficiency Enrolments** (paper circulated)

   Recommendation A77.18a: That Academic Board approves the Type 1 Changes as listed.
   Agreed: Lesley Smith / Linda Kinniburgh

   Recommendation A77.18b: That Academic Board approves concurrent enrolment programmes as listed.
   Agreed: Lesley Smith / Linda Kinniburgh

   Recommendation A77.18c: That Academic Board approves the individual Paths of Study for Certificate of Proficiency enrolments as listed.
   Agreed: Lesley Smith / Linda Kinniburgh

3. **A78.18 Site approval - South Dunedin Community Library**
   Dunedin Public Libraries – South Dunedin Community Pop-up, 199 Hillside Road, South Dunedin, 9012. Phone 03 474-3690
   For the delivery of all Q4U-C4F courses.
   Recommendation A78.18: That Academic Board approves the temporary site approval for the South Dunedin Library.
   Agreed: Lesley Smith / Linda Kinniburgh

4. **A79.18 Programme Approvals Committee - recommendations for programme approvals as listed**
   Type 2 changes for submission to NZQA for approval - each programme listed below links to the application documents in J:\Shared\Programme Development for reference as required.
   a. NZ1881 New Zealand Certificate in English Language (Level 2)
   b. NZ1882 New Zealand Certificate in English Language (General) (Level 3)
   c. NZ2649 New Zealand Diploma in Photography (Level 6)
   d. NZ2638 New Zealand Diploma in Digital Media and Design (Level 5)
   e. NZ2896 New Zealand Certificate in Bicycle Servicing (Level 3)

    f.   NZ2897 New Zealand Certificate in Bicycle Mechanics (Level 4)
    g.   NZ2674 New Zealand Certificate in Horticulture Services (Level 4) (Amenity)

Recommendation A79.18a: That Academic Board approve the Type 2 change to NZ1881 New Zealand Certificate in English Language (Level 2) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18b: That Academic Board approve the Type 2 change to NZ1882 New Zealand Certificate in English Language (General) (Level 3) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18c: That Academic Board approve NZ2649 New Zealand Diploma in Photography (Level 6) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18d: That Academic Board approve NZ2638 New Zealand Diploma in Digital Media and Design (Level 5) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18e: That Academic Board approve the Type 2 change to NZ2896 New Zealand Certificate in Bicycle Servicing (Level 3) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18f: That Academic Board approve the Type 2 change to NZ2897 New Zealand Certificate in Bicycle Mechanics (Level 4) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

Recommendation A79.18g: That Academic Board approve NZ2674 New Zealand Certificate in Horticulture Services (Level 4) (Amenity) for submission to NZQA for approval.
Agreed: Lesley Smith / Linda Kinniburgh

5. **EduBit approvals**
   A80.18 Programme Approvals Committee recommends the following Edubits to Academic Board for approval and accreditation.
   - EBT100145 Labour Exchange: Better Me
   - EBT600038 Supervision and Support Student Work Placement
   - EBT600039 New Employee Mentoring and Supervision
   Recommendation A80.18: That Academic Board approve the Edubits as listed.
   Agreed: Lesley Smith / Linda Kinniburgh

   A81.08 Edubit resubmission - EBT600106 Residential Assistant – Student Accommodation
   Originally submitted to Academic Board at 10 April 2018 meeting, Paper A23.18. This Edubit has been reviewed, retitled and the assessed competencies amended.
   Now titled EBT60010 Leadership in a Student Community.

   Recommendation A81.18: That Academic Board approves Edubit EBT600100 Leadership in a Student Community.
   Agreed: Lesley Smith / Linda Kinniburgh

6. **Items for noting**
   A82.18 Research and Postgraduate Committee - summary of meetings Feb - August. Full agendas and minutes are loaded and saved in the following link
   http://insite.op.ac.nz/teams/adb/ResearchAdvisory/default.aspx?InstanceID=20180914&Paged=Next&p_StartTimeUTC=20180111T200000Z&View=%7bDD2ADF3B-0006-424C-B9E5-A03AC31CF69B%7d
   Recommendation A82.18: That Academic Board note the agendas and minutes of Research and Postgraduate meeting activity from Feb - July 2018.
   Agreed: Lesley Smith / Linda Kinniburgh

   A83.18 Policies activity update May - August
   Recommendation A83.18: That Academic Board note the policy activity report May to August 2018.
   Agreed: Lesley Smith / Linda Kinniburgh

   Next scheduled meeting:
   - 9 October 2018 – electronic approvals
   - 1 November 2018 - Face to face issues discussion, G106, 2.30pm

- 13 November 2018

Academic Board

Minutes of the *electronic* Academic Board meeting held on 19 September 2018

Responses from

1.	Oonagh McGirr (moved)	Approve 19/09/2018 1.23pm
2.	Lesley Smith (seconded)	Approve 19/09/2018 1.28pm
3.	David McMaster	Approve 19/09/2018 1.28pm
4.	Linda Kinniburgh	Approve 11/09/2018 9.34am
5.	Marc Doesburg	Approve 19/09/2018 2.09pm
6.	Sue Thompson	Approve 19/09/2018 2.32pm
7.	Ian Crabtree	Approve 20/09/2018 8.40am
8.	Megan Gibbons	Approve 24/09/2018 9.25am
9.	Brayden Murray	Approve 24/09/2018 10.31am
10.	Sally Baddock	Approve 24/09/2018 11.01am
11.	Chris Morland	Approve 24/09/2018 11.42am

Quorum (10) achieved 24/09/2018

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1. **A85/18** **Type 2 change to NZ3669 New Zealand Certificate in English Language (General) (Level 4) recommendation from Programme and Approvals Committee** (PAC22/18)

    Recommendation A85.18: That Academic Board approve the Type 2 change to NZ3669 New Zealand Certificate in English Language (General) (Level 4) for submission to NZQA for approval.
    Agreed: Oonagh McGirr / Lesley Smith

2. **A86.18** **EduBit approval - EBT400103 Digital Health Aide**

    Rationale for new EduBit: It was identified that the EduBit currently approved iMOKO Digitial Health Aide, which does not include throat swabs, needed to be differentiated from the Training Scheme Digitial Health Aide EduBit as the outcomes are different.
    In conjunction with iMOKO, the name of this EduBit reflects the title of the Training Scheme, "Digital Health Aide", AC 1 has the addition of "including throat swabs", new EduBit number and has the inclusion of Task 1.3. throat swabbing .

    Recommendation A86.18: That Academic Board approve Edubit EBT400103 Digital Health Aide.
    Agreed: Oonagh McGirr / Lesley Smith

    Next scheduled meeting:
    - 9 October 2018 – electronic approvals
    - 1 November 2018 - Face to face issues discussion, G106, 2.30pm
    - 13 November 2018

Student Council Meeting
Tuesday 2 October 2018
12.00pm to 1.00pm
G205, Forth Street, Dunedin

Present:	Jordan Dargaville (BIT & Convenor) Nathan Laurie (Tourism) Jenny McCaughan (OISA, NAT)	Andrew Hornby (ECL) Brayden Murray (Director, Learner Services) Ronda McLaren (Minute Secretary)
Apologies	Chris Morland (DCE Learner Experience)	Patricia Quensell (Student Success)

Student App	Discussion re development of a student app for communications/connection as many students do not check e-mails. Need a balance of simplicity and usability to suit student demographic.
Contribute to your Campus	Presentation/consultation Thursday 18 October in G106 at 5.00pm With respect to impact of B Block - suggested blocks could scatter their morning tea and lunch breaks to ease congestion in The Hub, e.g. 1200, 1215, 1230…
Wi-Fi to EduRoam	ISS plans to use EduRoam as a replacement to opstudent (which is more secure). Existing students will need to log in once with username@op.ac.nz and password. FYI Te Pā Taurira (OP Student Village) is on EduRoam. A communications plan will be rolled out prior (Jan/Feb 2019).
Internships	Aims to increase internships for tertiary students and Dunedin business. For more information see Sexy Summer Jobs
Leadership Opportunities	*Camp Inspire* is an initiative for Year 9 and 10 secondary school students to enjoy a hands on experience at OP, leaving with a positive impression for future opportunities. Group of 20± students have a teacher and a student ambassador to look after them. *where:* Otago Polytechnic *when:* end November/Start December *contact:* Emilie Crossley, Learner Services *Waterwise* is an UWF, OP, UNESCO GAP collaboration developing youth leadership capability for a sustainable future. During the week tertiary leaders will be part of a team facilitating activities for high school students, and planning/managing the logistics for a successful camp. *where:* Central Otago and surrounding environment *when:* 8 to 14 December 2018 (*Graduation 14 December) *contact:* Ronda McLaren
Marketing	Jordan queried initiatives to promote Otago Polytechnic to prospective students. Brayden responded that we have a Liaison Team attending all major expos, Careers Advisor throughout Otago/Southland, the Otago Secondary Tertiary College (like gateway programme), Marketing and Communications Team.
Next Meeting	Tuesday 30 October 2018 in F215 – agenda Student Council Staff Awards

AGENDA

OTAGO POLYTECHNIC COUNCIL CLOSED

Name:	Otago Polytechnic Council
Date:	Friday, November 2, 2018
Time:	8:30 AM to 12:00 PM
Location:	Puna Kawa, Level 2, Mason Centre Otago Polytechnic Forth Street Dunedin
Board Members:	Kathy Grant (Chair), Neil Barns, Peter Coolbear, Bill Moran
Apologies:	Paul Allison, Darren Evans, Mike Horne, Megan Potiki
Guests:	In Attendance: Jono Aldridge (Convenor, Staff Subcommittee), Jo Brady (Deputy Chief Executive, People, Performance and Development), Jeanette Corson (Secretary to Council), Philip Cullen (Deputy Chief Executive Corporate Services), Jordan Dargaville (Convenor, Student Council), Janine Kapa (Deputy Chief Executive, Māori Development/Kaitohutohu, Phil Ker (Chief Executive), Oonagh McGirr (Deputy Chief Executive, Learning and Teaching Services)
Notes:	Council only at 8.00am

1.   PROCEDURAL

1.1   Resolution to Exclude the Public

Under Section 48, Local Government Official Information and Meetings Act 1987, move that with the exception of the Executive Leadership Team members and the convenors of the Student Council and the Staff Subcommittee, the public be excluded from the meeting.

1.2   Conflict of Interest

Members are asked to declare any potential conflict of interest.

1.3   Confirm Minutes

RECOMMENDATION

That the minutes of the closed section of the meeting held on 5 October 2018 be approved as a true and correct record.

Supporting Documents:

1.3.a   Closed.pdf

1.4   Action Item List

Safety Audit deferred to November meeting.

Business Case with TEC. Contact with Michael Davidson, has undertaken to come back within two weeks with an expected positive approval. Mr Cullen to circulate to the Council once received.

Supporting Documents:

1.4.a   Action Item List

1.5   Reporting Timeframes

Supporting Documents:

1.5.a	Reporting Timeframes.docx

2.   REPORTS

2.1   Chair (verbal)

2.2   Chief Executive

Supporting Documents:

2.2.a	Chief Executive Report.docx
2.2.b	OP WES 2018 Comparison of Schools and Service Areas Report _cut off point at 10%.pdf
2.2.c	Project Accelerate.docx

2.3   Finance and Audit Committee (verbal)

2.4   Finance Reports

- Variance Summary and Timing Difference Schedule
- EFTS Reports
- Rolling Cash Flow

Supporting Documents:

2.4.a	Variance Summary and Timing Difference Schedule.docx
2.4.b	EFTS report.pdf
2.4.c	Rolling Cash Flow.pdf

2.5   Executive Leadership Team

- Janine Kapa, Deputy Chief Executive Māori Development/Kaitohutohu
- Philip Cullen, Deputy Chief Executive Corporate Services

Supporting Documents:

2.5.a	DCE Corporate Services.docx
2.5.b	DCE Māori Development-Kaitohutohu.docx

2.6   Otago Polytechnic Auckland International Campus

To be sent separately.

Supporting Documents:

2.6.a	AIC Report Final_OP Council Meeting_Nov 2018.pdf

2.7   External Audit of Health, Safety and Wellbeing

The following reports are attached:

- Crowe Horwarth Report on Review of Health and Safety
- One page Health, Safety and Wellbeing Strategic Plan
- Draft Health, Safety and Wellbeing Strategic Plan - note that this a first draft and critical risks are still being worked on.

Supporting Documents:

2.7.a   1 pager Health, Safety and Wellbeing strategic plan.docx

2.7.b   Crowe Horwath Report.png

2.7.c   2018-2021 Health Safety and Wellbeing Strategic Plan 24 October 2018 (draft).docx

2.8   Safety and Wellbeing

- Quarterly Report to 30 September 2018

Supporting Documents:

2.8.a   Q3 Safety and Wellbeing Report.docx

3.   FOR APPROVAL

3.1   Business Case to Establish Heavy Transport Programme

To be sent separately.

4.   FOR DISCUSSION

4.1   Campus Plan

Discussion around whether some aspects of the Campus Development Plan should be put on hold.

5.   RISK

5.1   Governance Risk Management Framework

Supporting Documents:

5.1.a   Copy of Risk Matrix to Council 2 Nov 18.pdf

6.   MATTERS FOR NOTING

6.1   Council Correspondence

Inwards

- Hon Chris Hipkins re engagement of external security providers

Outwards

- Dr Peter Coolbear re reappointment to Council
- TEC re external security providers

6.2   Finance and Audit Committee Minutes

- 4 October 2018

Supporting Documents:

6.2.a   i. 4 October.pdf

6.3   Safety and Wellbeing Minutes

- 12 October 2018

Supporting Documents:

6.3.a   Safety and Wellbeing minutes 12 October.docx

6.4   Contracts Signed

No relevant contracts have been signed since the last meeting.

6.5   Use of the Common Seal

The Common Seal has not been used since the last meeting.

7.   CLOSE MEETING

7.1   Close Meeting

Next meeting: Otago Polytechnic Council - Closed - Friday, 7 December 2018, 9:15 AM