Council
Open Agenda

OTAGO
POLYTECHNIC
Te Kura Matatini ki Otago

Meeting to be held following a Powhiri at 9.30am on Friday 7 October 2016
Hokonui Marae, 140 Charlton Road, Gore

Contents
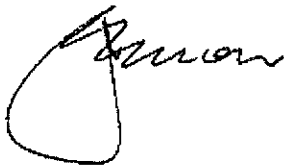
1. **APOLOGIES**

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.

   Jeanette Corson
   Secretary to Council

OTAGO POLYTECHNIC COUNCIL
INTERESTS REGISTER

Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Paul ALLISON	07-03-14	1. Chief Executive – Central Lakes Trust 2. Regional Chair – Halberg Disability Sport Foundation 3. Trustee – Winter Games NZ 4. Sports Commentator – The Radio Network 5. Lion Foundation Regional Grants Committee	1. CLT is a community funder, with the Polytechnic's Cromwell Campus within its beneficiary region. OP may well be an applicant for CLT funding in Central Otago 2 – 5 Nil
Gillian BREMNER	21-06-10	1. Chief Executive Presbyterian Support Otago 2. Director Well Dunedin PHO	1. Student placements for Nursing, Occupational Therapy and CAPS within PSO Residential facilities 2. Nil
John CHRISTIE	02-10-15	1. Director: Enterprise Dunedin - Dunedin City Council 2. Board Member - WellSouth Primary Health Network 3. Board Member - South Canterbury District Health Board Audit and Assurance Committee. 4. Trustee – Knox College Trust 5. Trustee – Salmond Hall	
Peter COOLBEAR	14-01-16	1. Director Ako Aotearoa 2. Chair NZCER Board 3. Council Member Tai Poutini Polytechnic 4. Member ACE Aotearoa Professional Development Steering Group 5. Member of the NZ-China Professional & Vocational Education and Training Model Programme Steering Group	1. Organisation Funder/Potential Funder of research and other projects run by Otago Polytechnic 2. NZCER manages the TLRI fund that has a tertiary education component 4. Otago Polytechnic may potentially be a participant in bids to the ACE PD fund to support community education. 5. Led by Wintec on behalf of the NZ ITP Sector
Darren EVANS	06-08-16	Chief Operating Officer, Calder Stewart Group Spouse: Part time employee of Otago Polytechnic, working in the Research & Enterprise Team (both R&E and Innovation Workspace) as a Project Manager	Calder Stewart Group is a Customer of CapableNZ and potential supplier

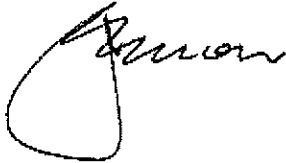| Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Kathy GRANT	22-06-15	1. Dunedin City Holdings Ltd (Director) 2. Sport Otago (Trustee) 3. Trustee of numerous private trusts 4. Gallaway Cook Allan (Associate) 5. Dunedin Sinfonia Board 6. Dunedin City Treasury Limited (Director) 7. Dunedin Venues Ltd (Director) 8. SDHB (Commissioner) 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 (Board Member) 10. Nominee Companies associated with Gallaway Cook Allan (Director) 11. Trustee of numerous private trusts	
David HIGGINS	07-03-14	1. Te Runanga o Ngai Tahu (Moeraki Representative) 2. Te Aparangi Committee (Executive Committee of TRoNT) (Member) 3. Ngai Tahu Fund Committee (Member) 4. Otakaroro Investments Ltd (Director and Shareholder) 5. Kaiapoi Pa Trustees (Chair) 6. Moeraki Marae Trustees (Chair)	

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Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Michael HORNE	06-11-15	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. McMahon Investments Limited 10. Otago Southland Division of the Cancer Society of New Zealand 11. Otago Museum Trust Board (Treasurer) 12. Palmer & Son Limited 13. Palmer Resources Limited 14. Palmer MH Limited 15. Palmers Mechanical Limited 16. PDS (Computer Services) Limited 17. Prospectus Nominees 18. Prospectus Nominees Services Limited 19. Rawhiti Road Investments Limited 20. Viblock Limited	1. Potential supplier 11. Potential customer Others: Nil

3. MINUTES 5 AUGUST 2016

The minutes of the open section of the meeting held on 5 August 2016 are attached.

RECOMMENDATION

That the minutes are approved as an accurate record of the open section of the meeting.

Jeanette Corson
Secretary to Council

Minutes of the Open Section of a Meeting of the Otago Polytechnic Council

held at 12.30pm on Friday 5 August 2016 in Puna Kawa, The Mason Centre, Otago Polytechnic, Forth Street, Dunedin.

PRESENT:	Mrs K Grant (Chair)
	Mr P Allison (Skype)
	Mrs G Bremner
	Mr J Christie
	Dr P Coolbear
	Mr M Horne
	Mr C Staynes
IN ATTENDANCE:	Mr J Aldridge (Convenor, Staff Subcommittee)
	Mrs J Corson (Secretary to Council)
	Mr P Cullen (Chief Operating Officer)
	Mr D Evans (until 1pm).
	Ms L Fafoa (Deputy Convenor, Student Council)
	Mr P Ker (Chief Executive)
APOLOGIES:	Mr D Higgins

Mrs Grant acknowledged the expiration of Mr Staynes' term on the Council. He had been a member for almost 9 years and during that time had been a member of the Finance Committee and on the Board of the Open Education Resource Foundation. She acknowledged his considered and balanced input, and a perspective reflecting his commercial and business experience and networks within that environment and the city. In wishing Mr Staynes well, Mrs Grant said he had been an incredibly loyal supporter of the Polytechnic and an active, engaged and visible member of the Council.

1. APOLOGIES

Apologies had been received from Mr Evans for early departure and from Mr Higgins.

RECOMMENDATION

That the apologies be accepted.

AGREED.

2. CONFLICT OF INTEREST

A register of Council members' interests was attached.

No further conflicts were declared in relation to any of the items in the open section.

3. MINUTES – 3 JUNE 2016

The minutes of the open section of the meeting held on 3 June 2016 had been circulated.

RECOMMENDATION

That the minutes be approved as a true and correct record of the open section of the meeting held on 3 June 2016.

AGREED.

4. MATTERS ARISING

Car parking
It was noted that the Polytechnic is negotiating parks close to the campus for student use.

5. CHAIR'S REPORT

Mrs Grant commented favourably on the visit of the US Ambassador Mark Gilbert and his wife, and Dr Dava Newman, Deputy Administrator of NASA and her husband on 15 July. The visit was part of the International Science Festival and the Polytechnic's sponsoring of Limbitless, which had received very good media coverage.

6. CHIEF EXECUTIVE'S REPORT

Secondary - tertiary alignment
Mr Ker advised that discussions around the secondary tertiary project are continuing. The working group includes representatives from Logan Park High School, Andy Kilsbury and Jean Tilleyshort and plans to pilot the concept of a virtual high school in 2017.

PIN Conference
Mr Ker had recently attended the Postsecondary International Network (PIN) conference hosted by Olds College in Alberta Canada, which he described as very worthwhile.

He spoke of Olds' continued entrepreneurial activity, whereby they are building their model off underpinning commercial activity including partnerships with the private sector and joint ventures. Their latest project is working on a 20 acre glasshouse complex in collaboration with a supermarket chain, connecting research activity and training, and at the same time setting up as a tourist attraction. He advised that the Vice President of Olds College will be speaking at Otago Polytechnic's Symposium on 30 September on their requirement for every full time student, as a prerequisite for graduation, to complete a course on entrepreneurial skills.

The general focus of the Conference was around technology and disruptive change, in particular, the use of robots in place of humans.

Summarised Finance Report for the period ended 31 July 2016

A table provided an overview of Otago Polytechnic's 2016 financial performance to date and compared this against the forecast with variances.

Key points:
- Net operating surplus $416k ahead of forecast
- EFTS enrolments at 4,455 ahead of forecast for June YTD

External Liaison

Mr Ker had met with a number of groups and individuals since the last meeting.

Media Clippings

A media report for June and July 2016 was provided.

RECOMMENDATION

That the Council receives this report.

AGREED.

7. **LEADERSHIP TEAM REPORT**

Reports were provided by Chris Morland, Director: Student Success and Jean Tilleyshort, Director: Sustainability.

8. **2017 DOMESTIC STUDENT FEES**

The Council discussed a recommendation by management for a 2% increase in fees for domestic students, the maximum percentage increase permitted. The Council considered an analysis as to the effect various fee increases on revenue depending on final EFTS numbers.

Mr Baines asked if there was any option for the grandparenting of fees, or for lobbying TEC to seek an adjustment for inflation. Dr Coolbear suggested that OPSA joins with OUSA regarding the latter.

Mrs Grant commented that any decision to increase fees to the maximum was one taken reluctantly but in the absence of any CPI increase from TEC, this was the only realistic option for the Polytechnic.

RECOMMENDATION   **K Grant/P Coolbear**

That the Council approves an increase in domestic fees for 2017 up to the maximum of 2%.

AGREED.

9. **ECONOMIC IMPACT REPORT**

The 2015 Economic Impact Report was attached. The report estimated the economic impact of Otago Polytechnic in Dunedin City for 2015, using a standard methodology for estimating the economic contribution of an organisation.

The report noted that Polytechnic's 2015 global economic impact had increased by 3.8% on the 2014 results of $278.87M.

10. **POLICY FOR APPROVAL**

CP0012.03 Conflict of Interest had been reviewed by the Finance and Audit Committee and was recommended for approval.

RECOMMENDATION   **K Grant/C Staynes**

That the Council approves the changes to CP0012.03 Conflict of Interest.

AGREED.

11. **MATTERS FOR NOTING**

The following items were noted:
- Council Calendar
- Leadership Team Conflict of Interest Register
- Minutes
  - Komiti Kawanataka 19 May and 16 June 2016
  - Staff Subcommittee 5 May, 2 June and 7 July 2016
  - Student Council 9 June 2016
  - Academic Board 20 June and 1 July 2016.

12. **GENERAL BUSINESS**

None.

The meeting closed at 1.45 pm.

Signed as a true and correct record of the open section of the meeting.

………………………………………………………..Chair

………………………………………………………..Date

ACTION LIST

Date	Action	To be completed by	By when
03/07/2015	Naming of buildings	Phil Ker	Progressive reporting
05/08/16	Naming of hall of residence	Phil Ker	June 2017

4. MATTERS ARISING

5. CHAIR'S REPORT (Verbal)

6. CHIEF EXECUTIVE'S REPORT

Summarised Finance Report for the period ended 31 August 2016

The following table provides an overview of Otago Polytechnic's 2016 financial performance to date and compares this against the forecast with variances.

August 2016	2016 Year to Date Actual	2016 Year to Date Forecast	Variance
	($000s)	($000s)	($000s)
Revenue	$ 74,382	$ 73,816	$ 566
Expenditure	$ 71,822	$ 72,416	$ 593
Net Surplus	$ 2,560	$ 1,400	$ 1,160
Capital Expenditure	$ 5,072	$ 5,750	$ 678
Employment Cost as a percentage of revenue	55.6%	56.5%	0.9%
Student Fees as a % of revenue	39.4%	39.5%	0.1%
Government Funding as a % of revenue	48.8%	48.7%	(0.1)%
Working Capital	84.4%	71.5%	13.0%
Cash In/Cash Out	130.4%	122.5%	8.0%
Current Monetary Assets (000's)	$ 8,243	$ 5,136	$ 3,107
Debt / Equity Ratio	0.0%	0.0%	0.0%
EFTS	4,728.4	4,689.7	38.7

Key Points:

- The net operating surplus variance is $1,160k ahead of forecast, with ongoing favourable forecast revenue and expenditure timing and permanent issues.
- Capex is $678k underspent to date with major project and equipment purchase activity now closer to matching expected forecast timing.
- Current monetary assets are $3.1m higher than expected with a combination of underspent capex and opex timing issues as above.
- EFTS enrolments at 4,728 are ahead of forecast for August YTD with additional enrolments in both the domestic and international spaces compared to the forecast. We remain on track to meet year end targets.

Experiential Learning workshop and symposium
This week we ran a very successful workshop on experiential learning, followed by a full day symposium on the topic of Educating for Tomorrow's Workforce – both subjects of strategic importance to Otago Polytechnic. There were 70+ attendees from NZ and internationally, including delegations from our partner institutions in China, Japan, US and Canada. Keynote speakers included Steven Joyce, Minister for Tertiary Education, Jason Dewling, VP Academic Olds College and Emeritus Professor Geoff Scott from the University of Western Sydney.

Feedback on the two days was excellent, reinforcing this as a valuable professional development activity for OP staff as well as our guests.

External Liaison
- Richard Blaikie, University of Otago, Julie McMahon, President NZACDITT, Dave Cull, Mayor, DCC
- Te Kaika Board meeting
- Work Ready Networking event
- Productivity Commission teleconference
- Mike Ferrari, Business Solutions, Rob Tigier, Dunedin Council of Social Services
- Louise Green, Shiefield Recruiting
- United Way Grants Allocation
- Dunedin's Sustainable City Forum - Tak Flooring
- Southern Health Futures Group meetings x 2
- Carole Heatley, SDHB
- ITP Advisory Group meeting, Wellington
- Malcam Trust Board meetings x 2
- SDHB Community Health and Wellbeing Group
- Mike Coggan, Otago Cricket
- Tertiary Teaching Excellence Awards, Wellington
- NZICE Conference, Auckland
- Hospice Fundraiser, The Hub
- OPAIC Board meeting, Auckland
- Paul Amezura, Global Ascent
- Phil Garing, Synapsys
- Te Tapuae o Rehua Board meeting, Christchurch
- TANZ strategy day, Wellington
- Terry Davies, Dunedin Venues Management Limited
- Cancer Ball
- Francis Whittaker, Mason and Wales
- AIC Way launch via Skype
- Health and Safety meeting with guest Michael Woodhouse
- Jonathan Garnett, MPP external monitor
- Guest Speaker, SDHB Lecture Series
- Joff Riley and David Booth, Feldspar
- TANZ Board meeting, Wellington
- Graduate Engineering Reference Group meeting, Auckland
- OPAIC Board meeting
- Michael Stevens, Rainbow Tick
- OP Long Service dinner
- 2016 EI Symposium welcome
- Ian Griffin, Otago Museum
- Chris Fleming, SDHB
- Seth Campbell, TEC

Media Clippings
Attached separately are media reports for August and September 2016.

RECOMMENDATION

That the Council receives this report.

Phil Ker
Chief Executive

7. LEADERSHIP TEAM REPORT

Director: Quality, Sue Thompson

1. Portfolio Responsibilities:
- Analysis and reports of Educational Performance
- Customer Services - includes the student life cycle processes from application to graduation and beyond
- External Pacific Engagement (includes convening External Pasifika Advisory Committee and managing awards and scholarships)
- Organisational Research
- Quality Enhancement Centre
- Quality Data and Records
- EBS Advisor
- Public Records Coordinator
- Resolving Student Complaints, Appeals, and Discipline
- Quality Processes including Self-Assessment (Internal Evaluation), External Evaluation and Review
- Single Data Return - veracity of data for course and qualification completions
- Student Health
- Pacific Island Centre

Committees:
- Academic Board – Chair
- AIC Academic Committee
- Learning and Teaching
- Research and Enterprise
- Policies - Chair
- Quality and Approvals
- Workbased Learning Agreement – Chair
- Deputise for Phil Ker at Te Tapuae o Rehua

2. 2016 Priorities:

Objective	KPI	Progress
Improve learner success in 2016 (with Chris M) including supporting low performing programmes to improve success rates for Maori and for Pacific learners (with Sally, Chris and Matt?)	• *Successful course completions of at least 2% improvement overall (base 2015)* • *Underperforming programme targets for 2016 will be met* • *Improvement of at least 2% for course completion and retention rate including for Maori and for Pacific* • *No courses/programmes below 60%* • *2% improvement for Māori and for Pacific (base 2015)*	*Ongoing*
Implement truncated APER/ASR process for 2016 to keep the focus on self-assessment	• *Completed including degree reports submitted to NZQA by 30 June*	*Completed*
Redevelop Quality Management System to align with Baldrige categories including Academic and Management Polices	• *New approved QMM* • *All policies current and reclassified*	• *Sponsor for Master of Professional Practice student project* • *In progress*

3. **Activities since my report to Council in June 2016:**
   - Along with Khyla Russell and Justine Camp met with Ngai Whatua's key education portfolio people in Auckland on 16 June with the two fold purpose of introducing Phil Ker and Nick Van der Walt and advancing our relationship in keeping with the spirit of our MOU with Ngati Whatua. The objectives in this MOU are:
     - Support increased opportunities for involvement in tertiary education by Ngati Whatua
     - In areas of mutual interest pursue joint developments
     - In areas of mutual interest establish research initiatives that contribute to Maori development

     This was a successful meeting with an agreement to work more closely together and a follow up meeting to be organised in the near future.
   - Leadership Team member in attendance at AIC 28 & 29 June during NZQA accreditation and approval panel for Postgraduate Applied Management and Business Information suite of programmes. A Ngati Whatua Kaumatua with extensive education experience led the Mihiwhakatau to welcome the panel. He was accompanied by their Education Advisor. This suite of qualifications has now been approved by NZQA.
   - Met with Competenz Industry Engagement Manager and the Food and Drink Industry Manager in Auckland 17 June to advance the development of craft brewing qualifications. Competenz is a key stakeholder with statutory coverage for food and drink qualifications.
   - Working with Competenz completing industry consultation visits in Auckland and Wellington to ascertain the national level of support for NZ brewing qualifications to enable us to get craft brewing qualifications listed on the NQF. To date the support for NZ brewing qualifications is unanimous.
   - Negotiations with Moana House Training Institute to gain Otago Polytechnic accreditation for their Te Taketake Diploma in Applied Addictions Counselling (Level 7).
   - Attended NZQA off shore delivery workshop in June which has assisted NZQA to scope changes to the offshore delivery rules which are now out for consultation.
   - Attended PEAC meeting for the Sports Turf Management programme in Cromwell to assist in enhancing the programme delivery.
   - Memorial policy project: A policy is drafted and a Bachelor of Design (Communication) student project is underway. This project will result in all memorials (mainly trees and plaques) within the polytechnic being photographed and documented to enable the narrative and photographs to be on the OP website along with a printable publication- this seemed an appropriate project to be completed in our 50th year.
   - Member of the selection and interview panel for a new Head of school of Nursing.
   - Continued proactivity to ensure congruence between approved programmes and their delivery.
   - Progressing plans to ensure compliance with Public Records Act - this requires an electronic digital records management system (EDRMS). An EDRMS will also enable the management of disposal authorities for archived records.
   - I continue to meet OP and NZQA appointed monitors when they visit to monitor our degree programmes (Monitors for Bachelor of Nursing, Bachelor of Midwifery, Bachelor of Culinary Arts and Master of Professional Practice since my last report) to provide assurance regarding Leadership/Organisational commitment to degree delivery, monitoring and successful outcomes.
   - I continue to manage complaints, appeals and disciplinary matters as they arise- some of these can be rather time consuming.
   - Working with TANZ Academic Directors to ensure programme of study sharing between TANZ partners post the targeted review of qualifications (TRoQ).
   - Progressing TEC's required Key Information Set for learners.

4. **Achievements:**
   - Hosted visit from key Ara staff to assist their preparation for Ara's EER which is scheduled for October.
   - Attended meeting with Productivity Commission.
   - Attended Te Tapuae O Rehua strategy meeting.

- ➢ Attended the National teaching Excellence awards in Wellington – my portfolio provides the support processes for the nominees.
- ➢ Met with Barbara Bridger re continued Community Trust support for Pacific Island scholarships.
- ➢ Finalised arrangements for two graduation ceremonies on Friday 9 December 2016
    - ➢ 12.30pm Graduation
    Schools/Colleges: ABE, ADA including Aoraki programmes, Central and EAD with an estimate of 260-270 graduands.
    Guest Speaker: Dr Ian Griffin, Director, Otago Museum
    - ➢ 3.30pm Graduation
    Schools/Colleges: CapableNZ, ISA/Massage Therapy, Nursing, Social Services/Hairdressing & Beauty with an estimate of 360-370 graduands.
    Guest Speaker: Louise Cross, RN, Otago Community Hospice (it is the 30th anniversary of the first OP Nursing graduation).

5. **Challenge:** Continuing business as usual including providing leadership and support to portfolio teams, in particular, during the current restructure.

6. **Coming Up:**
    - ➢ Pacific Island Scholarship and recognition awards ceremony – Wednesday 26 October 5.30pm in The Hub.
    - ➢ NZQA accreditation and approval panel in November for Doctor of Professional Practice.

8. 2015 MAORI ANNUAL REPORT

The 2015 Maori Annual Report will be tabled at the meeting.

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9. POLICIES FOR APPROVAL

Attached are the following policies which have been reviewed by the Finance and Audit Committee and are recommended to the Council for approval.

- CP0011.04 Treasury Policy
- CP0013.02 Procurement and Purchasing
- CP0014.01 Internal Audit
- CP0010.03 Fraud Prevention
- Fraud Control Plan

RECOMMENDATION

That the Council approves the revision of the following policies
- **CP0011.04 Treasury Policy**
- **CP0013.02 Procurement and Purchasing**
- **CP0014.01 Internal Audit**
- **CP0010.03 Fraud Prevention**
- **Fraud Control Plan**

OTAGO POLYTECHNIC MANAGEMENT POLICY		Number: CP0011.0~~3~~4
Title:	**Treasury Policy**	
~~ITPNZ Standard~~Baldrige Criteria:	~~3 Financial, Administrative and Physical Resources~~ 6 Operations	
Council Approval:	Approval Date: ~~10 April 2015~~	Effective Date: ~~10 April 2015~~
Previous Policy Number:	MP0302	Review Date: ~~10 April 2016~~
Contact Authority:	**Secretary to Council**	Status: **Current**

Purpose

The purpose of this policy is to promote prudent, effective and efficient financial management and set out the treasury function, framework and related policy guidelines within which liquidity risk, cash and investments are managed by the Polytechnic.

Background

The Polytechnic is a risk averse entity and does not seek to profit from its treasury risk management activities. However it recognises that the appropriate management of treasury matters within a defined framework will both benefit and protect the organisation

The Polytechnic holds funds at certain times of the year and from time to time may be a borrower. It has little exposure to foreign exchange.

Statutory Compliance

The Polytechnic treasury activities are carried out within the requirements of the Public Finance Act 1989, the Education Act 1989, the Crown Entities Act 2004 and any other legislation that may be applicable to the particular circumstances affecting its financial activities.

In addition Treasury's Borrowing, Investments and Business Case Guidance provides guidance on treasury management and requires:
- a set of protocols to govern investments1
- a defined process for making and approving investment decisions; and
- investments to be prudent and conservative in terms of risk.

Principles

The broad principles of treasury management for the Polytechnic are
- Financial matters are to be managed prudently and responsibly, and with appropriate public disclosure
- Activity which could be construed as speculation on financial markets is expressly forbidden
- All revenue, expenditure, assets and liabilities are to be managed in the best interests of the Polytechnic, and with regard to the interests of the community and government.

Objectives

The primary objectives of the treasury function are to safeguard financial resources by minimising exposure to various financial risks such as liquidity risk, interest rate risk, foreign exchange risk and credit risk. The Polytechnic will achieve this through prudent financial management as follows:
- establishing and regularly reviewing financial delegations and treasury matters
- regular cash flow forecasting and management to monitor and manage liquidity risk
- adequate and regular monitoring of financial matters through accurate and transparent accounting and cash flow reporting
- reporting on treasury related issues in an accurate and timely manner to the Chief Executive, Finance and Audit ~~Sub C~~committee and Council
- minimising the cost of borrowing through appropriate business planning

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[1] http://www.tec.govt.nz/Tertiary-Sector/Crown-Interest/Borrowing-Investments-and-Business-Case-Guidance/Investments/

~~CP0011.04 Treasury Policy update Aug2016.doc~~~~CP0011.04.03 Treasury Policy update Aug 22Jul2016.doc~~~~CP0011.03 Treasury Policy update 22Jul2016.doc~~

and managing the risk of exposure to interest rate volatility
- prudently optimising the return on monetary investments
- carefully managing the exposure to foreign exchange risk
- monitoring covenants and ratios required by the Polytechnic's security arrangements
- ensuring compliance with TEC financial performance criteria.

Procedures

1. **Financial Market Activities Management**

1.1. Capital Expenditure:

Any transaction that requires committed facilities or involves sale and leaseback will be supported by a business case, and requires authorisation by the Chief Executive, Council, and the Ministry of Education.

1.2. Borrowing:

The Polytechnic may borrow from counterparties which are a registered bank with a Standard and Poors credit rating of ~~AA~~ A+ or better or the New Zealand government. The counterparty must have received formal ministerial approval as required by the Crown Entities Act 2004 and meet the criteria set out in section 158(1) of the Act.

The Council approves all borrowing either by way of specific business cases or through approval of working capital and cash flow requirements indicated in the budget approval process.

The Council must be notified if total borrowings come within 5% of any of the Polytechnic's debt covenants.

The maximum gearing ratio is 5%. Gearing is defined as:

Long term Liabilities + Bank Debt
Long term Liabilities + Bank Debt + Equity

The Polytechnic will ensure this ratio is observed by careful planning of operational and capital expenditure.

The Polytechnic plans to minimise exposure to interest costs and interest rate volatility.

1.3. Investing:

~~The Education Act (section 202 and 203(4) and the Public Finance Act 1989 (section 65I) specify the types of investments in which Crown entities (including tertiary education institutions) may invest and these are:~~ The Polytechnic may invest as follows:
- Counterparties for short term investment (defined as investments with a maturity period of 12 months or less) with a Standard and Poors credit rating of ~~AA~~ A+ or better
- Counterparties for long term investments (defined as investments with a maturity period of more than 12 months) must have a rating of ~~AA~~ A+ or better.

Investments with any one bank are limited to a maximum of 50% of the total amount invested, including funds at call, except for the New Zealand government where the maximum exposure is unlimited.

The Polytechnic will invest in fixed term or call deposits at one or more of the following:
- Registered Bank in New Zealand

- Government Stock; or
- Treasury Bills.

Funds will be held at maturity to meet cash flow requirements and in addition will meet the following criteria:

- A minimum of $200,000 of investment funds will be held at call, more if short term eg. held over the weekend
- A further $500,000 should always be available within 30 days
- 50% of bank investments should be available within 6 months

The financial accountant and finance manager will complete the appropriate documentation for each transaction and written confirmation of each investment must be initialled by the finance manager. Confirmation of investment balances is will be obtained directly from the banks each quarter.

1.4. Hedging interest and foreign exchange rate risks:

The Polytechnic is not permitted to enter into financial hedging transactions of a speculative nature. However hedging or foreign exchange activities with the purpose of minimising all the forecast and known purchases of goods and services in the calendar year the foreign currency is received (the natural hedge) are permitted. There should never be more foreign exchange contracts in place than the funds to be paid or received.

External advice will be taken for foreign exchange contracts in excess of $100,000 and the advice and contract shall be reviewed and endorsed by the Finance and Audit Committee and authorised by the Council. All foreign exchange contracts under $100,000 shall be authorised jointly by the Chief Operating Officer and the Finance Manager.

2. **Liquidity Risk Management**

   Liquidity Risk Management is the management of the risk of not being able to source funds to meet short and long term commitments of the Polytechnic as they arise.

   This risk is minimised by matching expenditure to revenue streams and timely and accurate cash flow forecasting. In addition the Polytechnic has entered into a Multi Option Credit Line (MOCL) agreement with its bank (Westpac New Zealand Limited) in order to ensure that funds are available to meet short term debt obligations if required. Robust and regular reporting and forecasting processes will be in place to enable management, the Finance and Audit Committee and the Council to accurately evaluate and minimise this risk.

3. **Operational Risk Management & Internal Controls**

   The risk of financial loss is managed by:
   - organisational and procedural controls designed to mitigate risk in all situations including:
     - the segregation of trading, administration and accounting functions
     - regular reconciliations of all bank accounts and investments
     - independent review of sensitive financial matters
     - segregation of duties within financial processes
     - supporting source documentation that is appropriately authorised will be required for all expenditure
     - records will be being maintained for a seven year period and within the requirements of the Public Records Act
   - a clear and appropriate delegation framework that assigns responsibilities and timeframes for monitoring financial performance and risk
   - a well defined structure for the development, review and authorisation

of financial plans that fits within well understood and acceptable financial parameters
- internal audit and transactional review
- prohibition of speculative trading

4. **Bank Account Management**

Bank accounts will be managed carefully to avoid any risk of inappropriate transactions or use of funds as follows:
- two signatories/authorisers are required for all bank transactions
- appropriate security around all online banking to preserve the two signatory principle
- segregation of duties for payment of accounts
- Council approval for all new or changes to bank accounts and signatories; and
- maintaining an up to date register of bank accounts and signatories

5. **Tax Compliance**

The Polytechnic will comply with all NZ tax legislation.

6. **Subsidiary and associate entities**

The addition of new subsidiaries and associates to the Otago Polytechnic group structure by way of investment, acquisition or development is to be implemented in a structured fashion.

Council will be consulted prior to any ~~Where~~ new entities being~~are~~ added to the Polytechnic group, ~~Council will be advised~~ through the regular reporting cycle to its Finance and Audit Committee. Any potential consolidated financial reporting implications will be reviewed by the Chief Operating Officer and Finance ~~Team~~Manager as soon as practicable in order for planning to be undertaken in advance of the next external financial reporting round.

Consideration should be given by the Finance ~~Team~~Manager to reporting mechanisms and deadlines, financial system structures and setup, financial delegations, bank accounts and taxation implications if applicable, audit implications including timelines and costs plus any other financial considerations relevant to the particular subsidiary or associate entity.

7. **Reporting**

Reporting is an integral part of the Treasury function as it enables Management, the Finance and Audit Committee and the Council to monitor financial risks and performance.

The Chief Operating Officer is responsible for providing timely, high quality information on key financial and treasury activities of the Polytechnic to Management, the Finance and Audit Committee and the Council on a monthly basis. The reporting will include up to date information about:
- revenue, expenditure, assets and liabilities performance against budget
- the current and forecast cash flow position
- actual and forecast capital expenditure against budget
- invested funds
- current and projected borrowings and interest rates
- any hedging activity including external advice on same
- bank governance and compliance with covenants
- any changes in the credit ratings of the Polytechnic's bankers
- performance against financial criteria set by government agencies
- any policy breaches and mitigating actions; and

any other matter that may impact on the financial management, performance or

risks of the Polytechnic.

The Chief Operating Officer is responsible for reporting on compliance with borrowing covenants to the Finance and Audit Committee quarterly.

Treasury Responsibilities

The key responsibilities are:

Council
- determines the level and nature of risk which is consistent with the Polytechnic's business objectives
- considers and approves all new and ongoing borrowing
- monitors financial activities through the Finance and Audit committee
- considers and approves business cases for investment and capital expenditure
- considers and approves the annual budget and subsequent forecasts
- considers and approves the level and extent of financial delegations to the Chief Executive
- approves the opening and closing of bank accounts and new banking facilities
- approves the register of cheque and electronic banking signatories
- approves the treasury policy

Finance and Audit Committee
- monitors all borrowing arrangements
- considers the robustness and appropriateness of business cases
- monitors the financial performance and financial position of the Polytechnic
- considers all budgets and forecasts
- monitors the current and forecast cash flow
- ensures appropriate reporting processes are in place as set out in this policy
- monitors treasury risk through reporting and internal and external audit programs
- regularly reviews the financial delegations and treasury policies
- monitors all capital projects; and
- reports and recommends to Council its findings on all of the above matters.

Chief Executive
- holds overall management responsibility for the treasury function
- authorises expenditure and liquidity borrowings within the terms of his delegated authority
- recommends major projects and associated funding requirements to Council.

Chief Operating Officer
- manages Treasury processes and makes recommendations and decisions within the parameters of his delegations as set out in this policy and in the financial delegation policy
- manages the banking relationships
- regularly reviews interest rates and borrowing requirements to ensure that the most efficient means of funding for the institution is utilised.
- executes approved borrowing, investment and interest rate risk management strategies
- puts in place internal controls and other risk mitigation strategies and monitors compliance with these
- maintains cash flow projections and monitors and manages cash funds to the best advantage of the Polytechnic

- sources external advice in regard to foreign exchange transactions greater than $100,000
- ensures that a register of bank accounts and signatories is maintained
- ensures compliance with all tax legislation; and
- advises and reports to the Chief Executive, Finance and Audit committee and the Council on all treasury and financial matters as set out in this policy

Independent Auditors
- verify the accuracy of outstanding treasury transactions by undertaking independent confirmation checks
- review treasury procedures and controls: and
- provide an opinion as to whether the Polytechnic has complied with statutory requirements.

Related Policies   **Delegations Register**

All delegated financial authorities shall be recorded in the Financial Delegations Policy which shall include:
- Name
- Position
- Maximum value of delegation
- Budget limit
- Specimen signature

The delegated authorities shall be regularly reviewed by the Finance and Audit Committee and approved by Council.

Approved by Council
Date: ~~10 April 2015~~

OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0013.012	
Title:	Procurement and Purchasing Policy		
ITPNZ StandardBaldrige Criteria:	3 Financial, Administrative and Physical Resources 6 Operations		
Council Approval:	Approval Date: 2 June 2014	Effective Date:	2 June 2014
Previous Policy Number:	na	Review Date:	2 June 2016
Contact Authority:	Chief Operating Officer	Status:	Current Revision

Purpose

To provide guidelines for staff involved in purchasing goods and/or services.

Compliance

Procurement Guidance for Public Entities – Office of the Controller and Auditor General 2008
http://www.oag.govt.nz/2008/procurement-guide/docs
http://www.oag.govt.nz/2008/procurement-guide/docs/procurement-guide.pdf

Policy and Principles

All procurement and purchasing for the Polytechnic should comply with the government's Procurement Guidance for Public Entities section 2.3 and in particular reflect the following principles which require procurement and purchasing processes to:

- Be open and transparent
- Provide for open and effective competition
- Be free from conflict of interest
- Deliver outcomes which fit within the Polytechnic's strategic and financial priorities
- Be fair and honest
- Provide the best value for money over the whole of life of the item purchased
- Harness the purchasing power of the Polytechnic through the use of preferred supplier arrangements (corporate contracts)
- Take into account the principles of sustainability
- Take into account the principles of Fairtrade registration
- Consider the outcomes from previous purchases or procurement with any prospective supplier
- Manage risk effectively
- Comply with all relevant legislation
- Comply with the Polytechnic's operational procedures for procurement
- Harness the purchasing power of All of Government Contracts

Procedures

1. **Impact of Risk on Criteria for Selecting Purchase Method**

   1.1 While the financial value of goods/services is the primary determinant of the purchasing/procurement method (as set out in 2.1) the risk associated with any procurement/purchase may be cause for the Chief Operating Officer to elevate the procedural requirements for a purchase

2. Financial parameters for Selecting Purchasing Method

2.1 The financial thresholds for procurement methods are:

Value (one-off order or anticipated annual purchases)	Requirements
Below $5,000	Quotations optional having regard to the likelihood of significant price variation
$5,000 to $9,999	A minimum of two written quotations
$10,000 to $50,000	Written quotations or proposals from at least three suppliers (where three eligible suppliers exist) and approval from the Chief Operating Officer
$50,000 and over	Tender
$100,000 and over	Tender and Business Case

2.2 Council approval will be required where any purchase falls outside the Chief Executive's delegations.

2.3 High risk/high value goods/services which are a new or significantly modified purchase will require both a business case to support the purchase decision and the Chief Operating Officer's approval regardless of financial value.

2.4 The Chief Operating Officer may waive the requirements of 2.1 where:

    a) circumstances make it impractical to devote resources in calling for quotations/tenders/proposals; or

    b) the item and/or service is only available from one supplier; or

    c) the item is under a preferred supplier scheme which has exclusive rights.

In any of these circumstances the rationale and decision must be appropriately documented and evidentially authorised.

3. Record Keeping

3.1 All phases of the procurement process must be documented fully and be available for scrutiny.

3.2 The documentation should clearly:
    a) record and justify all key decisions including the rationale for the selection of the successful tenderer/proposer.
    b) evidence the regular monitoring of the process and timing of the events.
    c) demonstrate to outside parties that the process was open, fair and free from bias.
    d) record all conflicts of interest and disclose how the Chief Operating Officer responded to these.

3.3   Details of every quotation should be attached to the copy of the requisition/order.

Related Policy, Forms and Documents

Procedures for Tendering and Proposals - Appendix 1
Procedures for Purchasing - Appendix 2
RFP Template - Appendix 3
Otago Polytechnic Ethical Purchasing and Procurement - Appendix 4

CP0008 Sensitive Expenditure Policy
CP0012 Conflict of Interest Policy
MP0303 Authorities and Delegations from Chief Executive
MP0360 Fairtrade

Approved by Council
Date: 2 June 2014

Procedures for Tendering and Proposals

OTAGO POLYTECHNIC
Te Kura Matatini ki Otago

1. Authorisation of Tenders/RFPs

1.1 Tenders are required where purchases are estimated to exceed $50,000.

1.2 Tenders shall be approved and monitored by the Polytechnic Tender Board.

2. Types of Tendering

2.1 Open tendering allows the market to be tested and is the default option for Polytechnic procurement tenders.

2.2 Selective tendering may be appropriate where there is a need for specialised knowledge or expertise and there will be significant reduction of administrative costs. Selective tenders/RFPs will be used in conjunction with a register of suitable contractors or suppliers who have a proven track record with the Polytechnic.

2.3 Any decision to adopt selective tendering process should be fully documented.

2.4 Preferred suppliers – are to be selected using the same processes as documented in an RFP or through All of Government contracts (with particular reference to Section 5 below, noting that Tender Board involvement is not required below $50,000).

3. Operation of the Tender Board

3.1 The Tender Board shall:
   a) approve the Tender Document/RFP before issue;
   b) ensure the principles of procurement as set out in the procurement policy are followed;
   c) hear recommendations favouring selective tendering in preference to open tendering;
   d) hear recommendations to waive the need to call for quotations or invite tenders/proposals;
   e) review all disclosed conflicts of interest and the Chief Operating Officer's response;
   f) consider recommendations from the panel responsible for assessing tenders/proposals;
   g) accept tenders/proposals on behalf of the Polytechnic where they fall within an approved budget or recommend to the Chief Executive where appropriate;
   h) Report formally to the Chief Executive each quarter.

CP0013.021 Procurement and Purchasing Policy

3.2 Formal membership shall comprise:
a) Chief Executive
b) Chief Operating Officer;
c) Finance Manager (where requested)
d) Director: Learning Environment
e) Director: Learning and Teaching
f) Director: Organisational Development
g) Director: Communications
h) Manager of the requisitioning school/department (where relevant).

A Quorum of 3, to be at least 2 of the formal members and one other co-opted Leadership Team member.

3.3 Secretarial assistance for Tender Board matters will be provided by the Chief Executive's Office.

3.4 Meetings will be on an "as needs basis". Once a year the Board will meet to review its policies.

4. Tendering Procedure

The Tender/RFP Document should be developed using the approved Polytechnic template. Appendix 3.

4.1 Tenders should be advertised according to 4.2 and allow for sufficient time for prospective tenders to respond fully.

4.2 Public Advertisements shall include:
a) description of work
b) where tender/RFP documents can be obtained (specify names, telephone numbers of contact people)
c) identify closing date and how tender/proposal should be lodged

4.3 If the closing date is extended, all tenderers who have been issued with tender/RFP documents should be notified of this and a record kept of this amendment.

4.4 Registries of telephone inquiries must be kept (name of caller, date called, name of person taking the call and nature of the inquiry).

4.5 Any background information given to one tenderer/proposer must be given to all tenderers/proposers. A record should be kept to show that this has taken place.

4.6 Tendering specifications should be clear, focused, specific, and in place before tenders/proposals are invited.

4.7 The tender/RFP should reflect the requirements of the user.

4.8 Tenders/RFPs should be written in a way that does not restrict them to a specific brand or supplier.

4.9 The tender/RFP should include "general conditions for tendering".

4.10 The tender/RFP should include any information that would help the tenderer better understand how they may better meet the needs of the Polytechnic.

4.11   Selection criteria tailored to the situation should be established prior to considering any submitted tenders/RFP proposals.

4.12   The tender/RFP should be structured in order to encourage tenderers/proposers to respond to specific requirements in the same or similar format in order to enable easy evaluation of submitted tenders/proposals.

5. Preferred Suppliers

Preferred supplier agreements are set in place and enable mutual benefits to both organisations and result in strategic relationships. Besides meeting the selection criteria in Section 6 they also assist:
- Faster turnaround times
- A saving in time and money
- Consistency of supply

5.1   Preferred supplier selection – these are determined as per Section 4 (Tendering Procedures)

5.2   Review period – 3 years with provision for earlier/later end dates if circumstances warrant this, including extensions

5.3   Types of preferred supplier – may be for services or products

5.4   Selection criteria – as per Sections 2 and 8

6. Selection Criteria

Potential tenders/proposers should be informed in writing of the principal selection criteria, such as:
a)   quality of service design
b)   quality of key staff
c)   track record in the service being tendered or related areas
d)   financial stability of the firm
e)   quality of systems for control
f)   price
g)   health and safety systems
h)   sustainable practices or criteria
i)   where the tenderer provides clear regional economic impact
j)   a willingness to provide training opportunities for the polytechnics students

7. Receipts and Registration of Tenders/Proposals

7.1   Procedures must be in place to ensure confidentiality of tenders proposals such as the following:

7.1.1   Details of received tenders recorded in a tender register.

7.1.2   Tenders/proposals received by fax placed in a sealed envelope which records the time and date received.

7.1.3   Tenders/proposals received by hand marked with the time and date received

and stored securely.

    7.1.4   No verbal tender/proposal price will be considered. A record should be made of any verbal tender which will be kept with the other records relating to the tender/RFP.

7.2   An incomplete tender/proposal will not be accepted for consideration. It should be returned to the organisation that sent it.

7.3   Late Tenders/Proposals

a)   Late tenders/proposals will be marked "late tenders".
b)   Late tenders/proposals may be considered valid if the tender/RFP document made allowance for these to be accepted, and provided that the late tenders/proposals meet the conditions stated in the tender/RFP document for acceptance.

8. Tender/Proposal Evaluation

Evaluation of tenders/proposals should include the following;

8.1   **Track Record:** appropriate due diligence should occur to confirm the tenderer/proposer's expertise and track record in similar contracts and to establish the company's financial stability.

8.2   **Technical Capability:** appropriate due diligence should occur to establish that the tenderer/proposer and the key personnel who will be involved in the project have the relevant expertise and capability to perform the contract.

8.3   **Regional Economic Impact:** appropriate due diligence should occur to establish that the tenderer/proposer and the key personnel who will be involved in the project will bring economic benefits to the Otago region rather than outside it

8.4   **Sustainability:** appropriate due diligence should occur to establish that the tenderer/proposer and the key personnel who will be involved in the project demonstrate sustainable purchasing that aligns with Otago polytechnics sustainability aspirations. This should follow Appendix 4 guidelines.

8.5   **Training Opportunities:** wherever practical tenderers should provide training opportunities for the polytechnics learners such as internships, work place learning and project based learning.

9. Changes to Original Tender Document/RFP

9.1   If during the tender process a substantial change is made to the original tender/RFP by either party then it will be necessary to restart the tender process. The original tenderers/proposers must be given the opportunity to submit a new tender/proposal. The Polytechnic should detail why the original tender/RFP was changed.

9.2   The chair of the Tender Board has the authority to determine if the tender has to be re-tendered under a modified tender or has to be totally re-tendered as a new tender.

10. Acceptance of Tenders/Proposals

10.1 A letter of acceptance will be issued to the successful tenderer/proposer.

10.2 The Tender Board may authorise negotiations with a tenderer/proposer for an amended tender if none of the original tenders/proposals have been acceptable.

10.3 Unsuccessful tenderers will be notified by letter that they have been unsuccessful and advised of the successful tenderer/proposer.

10.4 For open Tenders/RFP the successful tenderer shall be announced in the public notices of the local newspaper within ten working days of conclusion of the tender/RFP.

11. Contract Between Polytechnic and Successful Tenderer/Proposer

11.1 A contract shall be drawn up between the polytechnic and the successful tenderer/proposer. Contracts should be developed or negotiated to fit with the existing Polytechnic contract templates wherever possible.

11.2 The Polytechnic signing authorities and delegations must be followed in signing any contract.

12. Conditions of the Contract

12.1 The contract document will include conditions and other important considerations. Before a contract is sent out, or signed on behalf of the Polytechnic, it may need to be vetted by the Polytechnic's Contracts Manager subject to any existing contracts management delegation.

12.2 Generally all contracts will include:
   a) terms of the contract
   b) roles of each person referred to in the contract
   c) payment details
   d) dispute resolution
   e) termination procedures
   f) assignment issues
   g) confidentiality
   h) deposits
   i) security of monies over $1000
   j) insurance including insurance payments

13. Conflicts of Interest

All conflicts of interest will be disclosed and dealt with according to CP0012 Conflict of Interest Policy.

Procedures for Purchasing

1. Purchasing Procedure

1.1 Every item or service to be paid for by the Polytechnic must be supported by either:
- an official Otago Polytechnic Purchase Order
- an Expense Claim Form (for reimbursement) or
- a tax invoice and other appropriate supporting documentation for purchases with an Otago Polytechnic credit card n Otago Polytechnic Credit Card Voucher

1.2 Expense Claim forms for staff must carry the signature of their Budget Manager. The Expense Claims for Budget Managers must be approved by their manager.

1.3 Otago Polytechnic Purchase Orders will be issued for all purchases. The purchase order should be fully complete prior to issuing to the supplier. Where the price cannot be confirmed at the time of raising the order an estimate should be entered. The estimate used should be that of a conservative nature.

1.31.4 A single purchase is not to be split over more than one purchase order.

1.41.5 Before approving invoices for payment and/or delivering the lines on an electronic purchase order, approved staff must:
- ensure the goods/services have been delivered or supplied
- confirm that quality is acceptable

1.51.6 The invoice received will be matched by the Finance Team against the appropriate purchase order previously approved by authorised staff. A tolerance level of 10% or $100 (whichever is the lesser) may be applied by the Finance Team when matching the invoice to the purchase order.

1.61.7 In the event of partial fulfilment of orders, the words "Backorder to Come" shall be noted on all invoices until the order is complete. An electronic backorder shall be created from the original purchase order in the financial system.

1.71.8 Expenditure for utility items such as telephone, rates and leases do not require order numbers but still require coding and authorisation. This is provided an authorised delegate for contractual commitments has signed the contract.

1.81.9 Travel purchases should be completed through the contracted preferred travel supplier (HRG) and approval is via the on-line HRG portal rather than through the normal purchase order system. Purchase Orders required for travel will be completed through the electronic purchase order system.

1.91.10 Maintenance of the electronic purchase order system including supplier details, security access, delivery points and general ledger codes will be done by Finance.

1.101.11   In the case of field trips a purchase order may be raised for an estimated amount and a manual purchase order book issued. On return the order book will be returned and orders written whilst away will be reconciled to the electronic purchase order and adjusted if necessary.

2. **Electronic Purchase Order Procedure**

2.1   Access and training for the Purchase Order System is provided by Finance to authorised staff.

2.2   Authorised staff are responsible for the security and correct usage of the Purchase Order System and must use a password protected screen saver and not give access to any other staff member. Costs incurred as a result of insufficient security will be charged to the department/section responsible.

2.3   Cancelled Orders – departmental purchasing staff will change the status of the electronic purchase order to 'Cancelled', with a brief explanation. If possible the supplier copy of the order should also be returned.

2.4   Access to the Purchase Order System does not automatically pass from one staff member to their successor. Delegation levels are removed by Finance for staff who have left and new staff are added in the normal manner.

3. **Specific Items**

3.1   Expenditure which has any element of personal benefit must be approved by a budget manager who is at least one level of authority higher than the person who issues the order.

3.13.2   Expenditure which falls under the sensitive expenditure or conflict of interest policies must be approved in accordance with these policies.

3.23.3   Visiting lecturers are to be remunerated for their services (at a rate which must be agreed beforehand) on the basis of either
- a salary payment, or
- a GST Invoice.

3.33.4   It is possible for other arrangements to be made in lieu of remuneration as agreed with the Chief Executive or the Chief Operating Officer.

3.43.5   In addition to the limits imposed by the Procurement and Purchasing Policy CP0013.00 certain items are subject to special policies, and these are listed below:

Item	Approval is subject to:
Accommodation, personal	on Polytechnic business
Accommodation, family	on Polytechnic business and as approved by the Chief Executive
Clothing, cleaning of personal	not approved unless [A]
Clothing, repair or alteration of Supplied	no restriction [C]

Clothing, supply of uniform or for use on Polytechnic business such as Protective clothing	Per [B] [C]
Fines, parking/other	never authorised
Flowers	approval of Leadership Team Member [C] [D]
Gifts, presentations to staff	approval of Head of School for academic staff and approval of Service Manager for general staff
Gifts, promotional e.g. overseas visitors	as approved by the Chief Executive or Chief Operating Officer [C]
Glasses (eye), supply of	subject to employment agreement
Liquor	not approved unless: 1) OP is hosting outside guests 2) The expenditure is a staff function that falls under the staff function policy MP0359 (in which case expenditure is limited by the dollar values specified in this policy) 3) It is an OP function that you have paid to attend and which includes alcohol clearly for Polytechnic business and authorised by Leadership Team
Meals	purchase order form must show names of persons and reasons
Optometrist, regular checks	for VDU users one test in each calendar year [C]
Practising Certificates	where connected to duties currently performed
Staff Purchases (including travel)	as arranged with Chief Operating Officer
Subscriptions, professional societies	where connected to duties currently performed
Subscriptions, magazine and technical updates	on Polytechnic business and ordered through the Library and as approved by Budget Managers
Travel, within New Zealand [E]	on Polytechnic business
Travel, outside New Zealand [E]	for purposes approved by the Chief Executive

Notes:

[A] This can be approved only in cases where a single incident has resulted in damage to the clothing of a staff member, and this and the date must be stated on the purchase order.

[B] Subject to the policy set by Chief Executive or Chief Operating Officer for the staff member and duties performed.

[C] Names of persons to whom issued must be noted on the purchase order.

[D]   Approval is available up to $50; values beyond that must be approved by the Chief Executive/Chief Operating Officer

[E]   With the exception of Perth and Darwin Australia is regarded as domestic travel
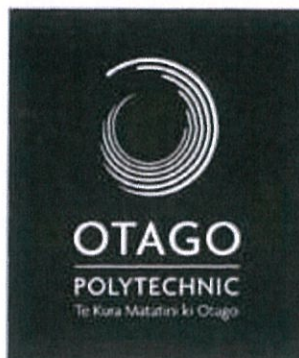
Request for Proposal

[Service Area]

[Date]

CP0013.02 Procurement and Purchasing Policy

TABLE OF CONTENTS

1 INTRODUCTION

Otago Polytechnic is an internationally recognised, modern tertiary education provider that is renowned for providing quality, career-focused degrees, diplomas and certificates.

Otago Polytechnic's main campus is situated in North Dunedin. The Polytechnic also has a campus in Central Otago where it offers specialised programmes in Adventure Tourism, Hospitality, Horticulture and Viticulture.

2 REQUEST OVERVIEW

Otago Polytechnic is seeking proposals for [Provide overview of the services to be provided]

3 REQUEST SPECIFICATIONS

3.1 Required Solution and Services
[Details of services required]

3.2 Location
The proposed sites to be covered are as follows (see map/s attached):

3.3 Scope
Services/goods covered in the solution would be

3.4 Specifications and Options Sought

4 RFP PROCESS AND TIMEFRAME

4.1 RFP Process
This is a [closed/open /multi-stage] RFP.
Eg This is a closed RFP – the vendors invited to respond were notified by letter.
[Process for RFP]

4.2 Timeframe
The timeframe for this RFP is outlined below:
[Timeframes/Key dates for RFP process]

5 CONFIDENTIALITY

5.1 All information contained in this RFP, unless it is already available in the public realm, is confidential. It is provided for the sole purpose of allowing Respondents to prepare and submit their proposals to Otago Polytechnic. Information contained in this RFP must not be used for any other purpose, or revealed to any other person or organisation not directly involved in this tender process.

5.2 All and any information gained by the Respondent in preparing a response or, if selected, in carrying out the contract, which relates to the business of Otago Polytechnic will be treated as confidential and will not be reproduced, distributed or disclosed to a third party without the written approval of Otago Polytechnic.

Please Initial Here: →

5.3   All responses received by Otago Polytechnic will be kept confidential. No part (or whole) documents will be reproduced, distributed or disclosed to any person outside of the tender process without the prior written consent of the Respondent.

5.4   Otago Polytechnic may share non-commercially sensitive / general information provided with other tertiary institutions, especially those affiliated with the Tertiary Alliance New Zealand (TANZ) group.

5.5 These obligations of confidentiality will continue indefinitely.

5.6   The Ombudsman has ruled that information provided by Respondents should be made available to parties requesting such information under the Official Information Act. It is Otago Polytechnic's policy that such requests will not be met until the tendering process has been successfully completed and a contract has been signed with the successful Respondent.

6   RELEVANT INFORMATION FOR RESPONDENTS

6.1   Otago Polytechnic Structures
Other facts relevant to the request eg organisation chart, school/area structure

6.2   Specialised Information for this RFP
[existing factors which would affect implementation of any solution]

7   PROPOSAL REQUIREMENTS

7.1   Information to be Included

❖ Response to each requirement
❖ Overview of proposed solution
❖ Proposed cost structure of the solution
❖ Sample Service Level Agreement
❖ Confirmation that timeframes can be met, or clarification of potential difficulties
❖ Identification of subcontracting organisations which would be involved in supplying the goods or services
❖ Outline of practices which reduce environmental impact which would be used to deliver the goods/services
❖ Proposed account management procedures
❖ Company Profile and a copy of, or access to, the latest annual report where applicable
❖ Referees - names of at least two reference clients who have acquired similar services with a contact name, telephone and email or facsimile.

7.2   Response timeframe and formats

7.2.1   [Five] hard copies and [one] electronic copy (Microsoft Word version 2002 or later format) of the proposal and supporting materials must be received by Otago Polytechnic no later than [5.00pm] on [Friday 3 August 2007].

7.2.2   Proposals are to be marked 'confidential' and delivered to:

Otago Polytechnic
Forth Street, Dunedin
Attention: [name], level [1], [G] Block

7.2.3 Any respondent requiring clarification or further information regarding any part of this RFP should contact the [Tender Coordinator], [name]. Requests must be made via email to:

[email]

Queries will be answered via email within [24 hours]. At the discretion of Otago Polytechnic the request and reply may be distributed to all recipients of the RFP.

7.3 Late Responses

Late responses will not be accepted
OR
Late responses will be accepted up to five days from the stated close date for Proposals, only in the case that the delay is due to (eg) inability to obtain required information from Otago Polytechnic or any other relevant source.

7.4 Non-Conforming/Alternative Proposals

Respondents are encouraged to propose innovative solutions.

Joint proposals are acceptable.

7.5 General Provisions

7.5.1 Once proposals have been submitted they cannot be withdrawn or modified without the written consent of Otago Polytechnic, and are considered valid for 60 days from date of submission.

7.5.2 Pricing provided in any response must be valid for six months from the date of submission.

7.5.3 Vendors may be asked to revise or clarify their proposals or provide additional information during the RFP process. These requests will require immediate action and must be responded to in writing within two days, or as specified. Otago Polytechnic reserves the right to exclude any proposal where the timeframes for these requests are not met.

7.5.4 The lowest priced or any proposal will not necessarily be accepted.

7.5.5 Otago Polytechnic reserves the right to accept all or part of any proposed solution.

7.5.6 Otago Polytechnic reserves the right to amend the timeframes in this RFP at any time prior to actual conclusion of the RFP, and will give notice to the vendors of any such amendment.

8 SELECTION CRITERIA

8.1 Selection criteria are presented here for the information of vendors, and are in no particular order.

[criteria may be provided to tenderers]
[sample criteria]
- Full compliance with the specifications of the RFP Package
- Evidence to support claims made

- Competitive pricing
- Ability to meet required timeframes
- Ability to be innovative and progressive resulting in better quality goods or services, service times, and/or more cost effective systems
- Ability to create savings or add value at minimal or no cost to Otago Polytechnic
- Previous performance
- Evidence of sound organisational and financial structure
- Ongoing performance and quality assurance monitoring
- Communications and Account Management processes
- Where the vendor provides clear regional economic benefit

9 CONTRACT DURATION AND CONDITIONS

9.1 Contract Duration

9.1.1 Subject to completion of the tender process to Otago Polytechnic's satisfaction, It is expected that Otago Polytechnic will award a [ ] year contract.

9.1.2 The duration of the contract will be confirmed during contract negotiations with the selected Respondent.

9.2 Standard Terms

The Otago Polytechnic Standard Terms for Acquiring Services are attached as Appendix 1 and would form part of any contract.

9.3 Health and Safety

Contractors are expected to follow the health and safety procedures of Otago Polytechnic, which will include attendance at a Health and Safety induction.

The Otago Polytechnic Contractor Health and Safety Agreement is attached as Appendix 2 and would form part of any contract.

9.4 Sustainability

The following clauses, or similar, in the area of sustainability would form part of any contract:

9.4.1 The Supplier will perform the services in a manner which gives appropriate regard to the protection of the natural environment. The Supplier will comply with all environmentally related legislation and codes of practice relating to the goods and/or services relevant to this Agreement.

9.4.2 The Supplier will cooperate with the Customer to discuss, and where agreed, implement initiatives to reduce environmental impact of the goods and/or services relevant to this Agreement with regard to sustainability, avoidance of environmental pollution, lifecycle energy use, water, wastewater management and solid waste management.

[9.5 Right of Replacement

During the term of the contract, Otago Polytechnic reserves the right to have replaced at its request any equipment that is worn out, unreliable, inoperable, or that fails to perform satisfactorily in any other manner. To ensure fair consideration is given to the equipment, an issue identification and resolution process will be defined within the Service Level Agreement.]

Please Initial Here: →

APPENDIX 1: STANDARD TERMS FOR ACQUIRING SERVICES

1 Services

1.1 All services must:

    (a) be carried out with care and skill to a professional standard, in accordance with all legal requirements and Otago Polytechnic's rules and directions; and;

    (b) meet Otago Polytechnic's purposes and requirements.

1.2 The Supplier must comply with Otago Polytechnic's Health and Safety policies and procedures.

2 Confidentiality

2.1 This Agreement and any information provided by Otago Polytechnic are confidential. The parties agree not to disclose any confidential information to anyone except with the other party's prior written consent. It shall not be a breach of this clause 2.1 for a party to disclose information to the extent required by law, or to its professional advisors on a confidential basis.

2.2 All trade and professional secrets supplied to the Supplier by Otago Polytechnic remain Otago Polytechnic's property.

3 Relationship

Nothing in this Agreement creates any agency, partnership, joint venture or employment relationship between the parties. Neither party has the right to bind the other in any way.

4 Rights to inventions and developments

Any inventions, ideas, know-how and/or techniques relating to anything developed by either party or both parties in the course of this Agreement, are deemed to be the property of the developer or developers.

5 Goods and Services Tax

All prices and charges are in New Zealand dollars and are exclusive of GST and any other Government imposed levies, surcharges or taxes (unless otherwise stated).

6 Ending this Agreement

6.1 Otago Polytechnic may end this Agreement by written notice to the Supplier:

    (a) if the Supplier breaches any term of this Agreement and fails to remedy the breach within 7 days after receiving written notice from Otago Polytechnic requiring the breach to be remedied; and

    (b) immediately in the case of a breach of Health and Safety policy, procedure, legislation or regulations.

6.2 The ending of this Agreement is without prejudice to any other rights and remedies of Otago Polytechnic, and does not affect any rights and responsibilities which are intended to continue or come into force after it ends.

7 Waiver

If either party delays, or does not exercise any right or remedy under this Agreement, it is not a waiver of that right or remedy.

8 Assignment

Neither party may assign its rights under this Agreement without the other party's prior written consent.

9 Each clause separately binding

Each clause of this Agreement is separately binding. If for any reason Otago Polytechnic cannot rely on any clause, all other clauses remain binding.

10 Choice of law and choice of forum

10.1 This Agreement is governed by New Zealand law. Any dispute, which is to be litigated, is to be commenced and heard at Dunedin. The parties agree that any cause of action is deemed to have arisen at the Dunedin office of Otago Polytechnic.

11 Entire Agreement

This Agreement constitutes the entire agreement between the parties, and the Client agrees that its own terms of trade (if any) do not apply.

12. Notices

12.1 Otago Polytechnic will send any notices under this Agreement by post to the last address given by the Supplier. Any notice is deemed to have been delivered 3 days after posting.

APPENDIX 2: CONTRACTOR HEALTH AND SAFETY AGREEMENT

CONTRACTOR HEALTH AND SAFETY AGREEMENT

Dated the _____

BETWEEN   Otago Polytechnic ("The Principal")

AND   _____ ("The Contractor")

RELATED TO   The Contract dated _____

THE PARTIES AGREE AS FOLLOWS:

1. The Contractor shall take all practicable steps to ensure that people in the place of work, and people in the vicinity of the place of work are not harmed by any hazard that is or arises in the place of work.

2. Before beginning work at the Principal's business or worksite, the Contractor must carry out a systematic identification of hazards likely to be encountered and must develop controls for all those identified as being significant hazards.

3. The Contractor must advise the Principal immediately of any new hazard created while the contracted work is being carried out and will take all practical steps to prevent harm caused to any person as a result of such hazards.

4. The Contractor agrees to make available for inspection by the Principal any documentation relating to health and safety in connection with this Agreement.

5. The Contractor is required at all times, until the contracted work is completed, to comply with all relevant Acts and Regulations (including the Health and Safety at work Act 2015 and subsequent amendments, Health and Safety in Employment Act and Amendment 2002, the Resource Management Act 1991 and subsequent amendments, and Fire Safety and Evacuation of Buildings Regulations 2006 and subsequent amendments), local Bylaws and District Plan requirements, relevant New Zealand Codes of Practice and any Otago Polytechnic health and safety requirements.

6. The Contractor must have a health and safety management system in place which ensures their compliance with the Health and Safety in Employment at work Act 2015 and subsequent amendments.

7. The Contractor must ensure that all site personnel and subcontractors:
   ARE PROPERLY TRAINED IN THE SAFE USE OF PLANT AND EQUIPMENT
   ARE INFORMED OF EMERGENCY PROCEDURES, LOCATION OF EMERGENCY EQUIPMENT, LOCATION AND USE OF SAFETY EQUIPMENT, BASIC SAFETY RULES, HAZARDS AND HAZARD CONTROLS, GO AND NO-GO AREAS AND ACCESS AND AUTHORISATION REQUIREMENTS RELEVANT TO THE TASKS THAT THEY HAVE BEEN ASSIGNED AND ARE NOT PERMITTED TO WORK AT THE PRINCIPAL'S BUSINESS OR WORKSITE WITHOUT BEING SO INFORMED; AND
   ARE EITHER ADEQUATELY EXPERIENCED THEMSELVES OR ARE SUPERVISED BY AN EXPERIENCED PERSON IN ORDER TO CARRY OUT THE TASKS THAT THEY HAVE BEEN ASSIGNED SAFELY.

8. The Principal may refuse access to its work site to any person who does not comply with the required standards for health and safety owing to their behaviour, lack of skill or insufficient training or experience.

9. If any deviations from safe work practices are identified, the Principal's Contract Manager may stop all site work, at the Contractor's expense, until agreed safe work practices are developed.

10. The Contractor will be fully responsible for supervising site personnel and subcontractors to ensure that they strictly adhere to all applicable safety requirements. In the Contractor's absence from the site, another person is to be assigned in charge of meeting the designated safety requirements.

11. The Contractor, including all site personnel and subcontractors, must comply with the following requirements:
    - smoking is not permitted in Otago Polytechnic buildings or on its grounds;
    - personal protective equipment, where applicable, shall be used and worn in accordance with safety regulations; this equipment must be well maintained to the required standard;
    - good housekeeping standards are to be observed throughout the period of work, both at the work site area and in and around any temporary buildings; the working area shall be kept tidy with escape exits and other access ways kept clear; any spillage shall be cleared up in a timely and safe manner;
    - work areas shall be clearly marked and cordoned off to prevent risk of harm to Polytechnic employees, students or any other person;
    - an appropriate first aid kit must be provided and maintained by the Contractor;
    - use of radios is not permitted on Otago Polytechnic premises unless authorised by the a Contract Manager of the Polytechnic;
    - use of language and/or gestures towards staff, students or visitors on Otago Polytechnic premises that may be of an objectionable nature, is prohibited. This contravenes Otago Polytechnic harassment prevention policy

12. Contractor must report any accident to the Principal's Health and Safety Advisor as soon as practically possible after the event and provide the Health and Safety Advisor with a written copy of the entry from the Contractor's register of accidents (refer section 25 of the Act) in respect of any accident that harmed or might have harmed any person within 24 hours of the event. The Contractor will notify OSH and the Principal of any serious harm accident as soon as possible after its occurrence.

13. The Contractor, in accepting this contract, undertakes to comply with any direction or requirement of the Principal's Contract Manager in relation to the implementation of the "all practicable steps" requirement contained in the Health and Safety in Employmental Work Act 2015 and subsequent Amendments 2002 to ensure that employees of the Contractor and any subcontractors; employees or students of the Polytechnic; or any other person is not harmed by the Contractor's activities on the Polytechnic premises under this Agreement. Failure to comply with this provision, or any other significant breach of this Agreement, will constitute grounds for dismissing the Contractor.

_____ of

Name (Print)

_____

Company Name (Print)

have read and understood the Otago Polytechnic's Contractor Health and Safety Agreement and accept responsibility to ensure that all staff and subcontractors employed under this work/purchase order on behalf of the Otago Polytechnic will conform to this Agreement.

Signed: _____

Date: _____

Ethical Purchasing and Procurement

Overview

Sustainable and ethical purchasing and procurement at Otago Polytechnic is based on aligning Otago Polytechnic's strategic goals to its sustainability aspirations.

Educational excellence

- Use best practice for sustainability in all operations.
- Increase Otago Polytechnic responsibility in regard to compliance, accreditation and monitoring associated with sustainable practice.

Financial Sustainability

- Reduce Otago Polytechnic supply chain cost through sustainability efficiencies.

Community Confidence

- Contribute as much as possible to the local economy by using local products and services.

Environmental and Social Responsibility

- Encourage staff to make healthy choices that consider the environment.
- Create a culture and work environment that is based on sustainable practice
- Minimise the waste, energy, water and chemical footprint of Otago Polytechnic on the environment.
- Limit the overall impact of Otago Polytechnic activities on biodiversity.
- Reduce the Otago Polytechnic supply chain impact on the environment.

> **Sustainable and ethical purchasing includes purchasing both products and services. It is essential that the purchasing of products and services directly contributes to the sustainability and Fairtrade aspirations of the organisation.**

Sustainable and ethical purchasing and procurement requires the purchaser to include and consider the impact of social, environmental, political and economic performance factors in a systematic way when making decisions about specific products or services. Furthermore, considering such impacts often results in sustainable purchasing reflecting the full cost (social, environmental, political and economic) of a product or service. In most cases any higher up-front costs can be offset by reduced costs in waste and by longevity of product versus more frequent purchasing.

The Product Purchase Process

Products should be purchased in line with policy MP0360 Fairtrade. This involves thinking about how the product is going to be used and the consequences of any environmental, social, political or economic outcomes as a result of the purchase.

For products this includes:

- How the product is made?
- What the product is made of?
- Where the product was made, and by whom?
- What traceability systems are in place to confirm the above with certainty?
- How will the product be used?
- How will the product be disposed of after use?
- How does the product contribute to or detract from Otago Polytechnic sustainability aspirations (impact)?

It also involves the purchasing of a service and how that service underpins the corporate aspirations for sustainability.

The Service Procurement Process

For services this includes:

- How will the service contribute to the sustainable practices/values of the business?
- How will that service advance the business process?
- How does the service provider model a sustainable process?
- How does the service provider help re-design, re-orientate and change current practice?
- What ongoing support is in place from the service provider (supply chain) to assist the change process?
- What sustainability record does the service provider have?

> *Assessment of initial purchasing decisions should involve following an adapted version of the Whistler (British Columbia) 6 step purchasing guid e- adjusted here to meet the Otago Polytechnic sustainability aspirations.*

Product

Step 1 Identify the product's service

- What service does the product provide?
- How does this service contribute towards the overall business goals?

Step 2 Assess the need for the product

- Why do we need this product?
- Can we achieve this function without purchasing another product?
- Is it better to rent, lease or borrow this product rather than buying?

Step 3 Identify the products content

- Identify the components of the product by asking the supplier or reviewing the ingredients list
- Make a list of ingredients

Step 4 Identify the social, environmental and economic impacts of the required product

- Review this component list. Identify any component that could affect the environment and or humans
- Identify how this product supports Otago Polytechnic's sustainability aspirations
- What are the impacts – how does this product move us away from our sustainability objectives?
- Identify what components we should avoid
- Identify what products meet Otago Polytechnics purchasing process – IF NO PRODUCTS MEET REQUIREMENTS see step 5

Step 5 Identify what a sustainable option might look like (considering social, environmental and economic aspects)

- Describe what a more sustainable product would look like
- How can we work with existing supply chain partners to provide this product?
- Who will work with our supply chain to find/develop this product?

Step 6 Identify and prioritise options before making a choice.
- Which product will best serve our sustainability needs/requirements at present?
- Develop a purchasing list of sustainable products
- Annual review of purchased products to explore new options that meet the Otago Polytechnic sustainability aspirations

Service Process

Step 1 Identify the products service
- What does the service provide?
- How will the service contribute to the sustainable practices/values of the business?
- How will that service advance the business process?

Step 2 Assess the need for the service
- Why do we need this service?
- Can we achieve what we want without purchasing more service?
- Can we contract, lease or use a service through a partner organisation?
- Can we contract this service rather than fulltime or part time employment?

Step 3 Identify the service content
- How does the service provider model a sustainable process?
- How does the service provider help you re-design, re-orientate and change current practice?
- Determine the quality of the service in relation to overall sustainability aspirations

Step 4 Identify the social, environmental and economic impacts of the required service
- What ongoing support is put in place by the service provider (supply chain) to ensure an ethical process?
- What sustainability record does the service provider have?
- What are the impacts – how does this service move us away from our sustainability aspirations?
- Identify what service/s meet the Otago Polytechnic purchasing process – IF NO SERVICE/S MEET REQUIREMENTS see step 5

Step 5 Identify what a sustainable option might look like (considering social, environmental and economic aspects)
- Describe what a more sustainable service would look like
- How can we work with existing service partners to provide this option?
- Who will work with our service provider to find/develop this option?

Step 6 Identify and prioritise options before making a choice.
- Which service will best serve our sustainability needs/requirements at present?
- Develop a list of sustainable services in this area
- Annual review of service providers to explore new options that better meet the Otago Polytechnic sustainability aspirations

OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0014.001	
Title:	**Internal Audit**		
~~Subject Group~~Baldrige Criteria:	~~12 Internal Audit and Review~~ 6 Operations		
Chief Executive Approval:	Date of Approval:	4 July 2014	Effective Date:	4 July 2014
Previous Policy No:	n/a		Review Date:	1 July 2015
Contact Authority:	**Secretary to Council**		Status:	**CURRENT**

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.

Compliance

The Education Act 1989 -
http://www.legislation.govt.nz/act/public/1989/0080/latest/DLM175959.html

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 organisation appointed as Internal Auditor.

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

Accountability

The Internal Auditor reports to the Finance and Audit Committee (FAC) of Council and liaises with the Chief Operating Officer (COO).

Responsibilities of the Finance and Audit Committee (FAC)

The Committee is responsible for the development, review, and monitoring of Internal Audit functions, policies, and procedures. This includes:

- oversight of the Internal Audit function
- setting the budget for Internal Audit.
- setting the Internal Audit work plan after due consideration of the risk assessments in relation to organisational internal controls ~~je~~of the Internal and External auditors and policy CP0010 Fraud Prevention
- recommending the appointment of the Internal Auditor and/or the use of internal resources to carry out internal audit work
- receiving reports arising from Internal Audit activities

CP0014.010 Internal Audit

	• meeting with the Internal Auditor independently of management on an annual basis.
Responsibilities of Management	The Chief Operating Officer (COO) is responsible for ensuring that the those carrying out the Internal Audit function have:

- operational cooperation from staff throughout the organisation
- access to staff and systems requested by internal audit
- direct access and freedom to report to the CEO
- unrestricted and independent access to the FAC.

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

The 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.

The work plan will set the scope for each review, but will include:
- 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.
- reviewing the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information.
- assessing compliance with policies, plans, procedures, laws and regulations that could have a significant impact on operations and reports.
- reviewing the means of safeguarding assets and, as appropriate, verifying the existence of assets.
- appraising the economy and efficiency with which resources are employed.
- investigating and reporting on alleged violations of policies and procedures, errors, fraud, or misuse of Otago Polytechnic assets.
- assessing internal control risks to the Polytechnic
- performing and reporting on follow-up reviews to determine the status of recommendations contained in reports.

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

Related Policy, Forms and Documents	CP0010 Fraud Prevention Fraud Control Plan - http://insite.op.ac.nz/OP%20Policies/Council%20-%20Fraud%20Control%20Plan.pdf The Education Act 1989 http://www.legislation.govt.nz/act/public/1989/0080/latest/DLM175959.html Tertiary Funding Information www.tec.govt.nz[PT1]

Approved by Council
Date: 4 July 2015

Fraud Control Plan

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

Fraud Control Plan

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 Heads of School, ~Managers, Team Leaders or equivalents are to have an understanding of the Fraud Control Plan content and the responsibilities allocated under the Plan;
- Communication of 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 websiteintranet;
- 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 four 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 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 Director Quality
- The Fraud Control Officer (currently COO)
- The Chief Operating Officer
- The Director Organisational Development:
- All Managers and Team Leaders
- All staff

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

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

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

2.3 Fraud awareness training

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

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

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

2.4 Assessing fraud risk

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

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

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

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

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

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

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

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

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

2.5 Internal Control

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

The Polytechnic will promote an internal control culture through a process of:
- example-setting by management;
- regular communication of the importance of internal controls; and
- including adherence to internal controls as part of the performance management framework.
- implementing an approved internal audit plan with FAC oversight.

2.6 Employment screening

Otago Polytechnic has an employment policy which seeks voluntary disclosure of past offences. Due consideration will be given to any potential employee who discloses past offences. Pre-employment screening is an effective means of preventing particular types of fraud, such as falsifying qualifications or employment history. It can also identify previous criminal convictions for offences of dishonesty. The Director: Organisational Development and Managers 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 at 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 Managers 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   philip.cullen@op.ac.nz
Phone 021735618

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 Protected Disclosure of Serious Wrongdoing (Whistleblowing) Policy (CP0009.0) 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:
- Chief Operating Officer
- Director: Organisational Development and;
- Other relevant senior executive managers e.g. Chief Executive/Director Quality

The team will follow the procedures as outlined in the Fraud Prevention Policy (CP0010.0) 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

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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:

- Fraud Prevention Policy (CP0010)
- Protected Disclosure of Serious Wrongdoing (Whistleblowing) (CP0009)
- Conflict of Interest (CP0012)
- Resolving Employment Problems (MP0444)
- Authorities and Delegations from the Chief Executive (MP0303)
- Employment Delegations (MP430)
- Specific Financial Authorities and Delegations (MP304)
- Purchasing by Quotation, Tender or request for Proposal (CP0013)
- Otago Polytechnic Credit Cards (MP352)
- Travel on Otago Polytechnic Business (MP0446)
- Sensitive Expenditure (CP0008)
- Student Discipline (AP0602)
- Disposal of Assets (MP0315)
- Procurement and Purchasing Policy (CP0013)

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Appendix A
Otago Polytechnic Fraud Control Plan – Overview Diagram

Otago Polytechnic Fraud Control Plan – Overview Diagram

1.   Introduction

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

2.   Prevention

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

3.   Detection

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

4.   Response

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

5.   Appendices

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

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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 / Director: Quality 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 Director: Organisational Development and Chief Operating Officer.

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Role	Fraud Control Responsibilities
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: Organisational Development	• 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
Managers	Managers must be vigilant to the possibility of fraudulent behaviour and to respond accordingly. Managers 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 CEO	The FCO (the FCO must then notify the Chair of the FAC)	The Chair of the FAC
The FCO	The CEO (the CEO must then notify the Chair of the FAC)	The CEO
Contractor	The FCO	The FCO
Councillors	The CEO (the CEO must then notify the Chair of the FAC)	The CEO, 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 CEO)	The CEO, in conjunction with Chair and external parties, as required
Chair	The Deputy Chair (the Deputy Chair must then notify the CEO)	The CEO, in conjunction with Deputy Chair and external parties, as required
All other parties	Chair (the Board Chair must then notify the CEO)	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, CEO or Chair	Depending on the party, the investigation will be managed as above

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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

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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: ....

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: CP0010.0~~3~~2	
Title:	**Fraud Prevention and Response**			
~~ITPNZ Standard~~Baldrige Criteria:	~~3 Financial, Administrative and Physical Resources~~ 6 Operations			
Council Approval:	Approval Date:	7 Nov 2014	Effective Date:	7 Nov 2014
Previous Policy Number:	**na**		Review Date:	5 Sep 2016
Contact Authority:	**Secretary to Council**		Status:	~~Current~~Revision

Purpose

- To ensure that the assets and reputation of Otago Polytechnic and its staff are protected from fraudulent misconduct.
- To instil responsibility and awareness amongst Otago Polytechnic staff and Council.
- To establish an environment in which fraud concerns can be identified and readily addressed.
- To ensure compliance with internal control systems that are designed to minimise the opportunity for fraudulent behaviour.
- To provide guidance on how to effectively progress an allegation of fraud.

Background

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

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

Fraud may involve, but is not limited to, the intentional:
- manipulation, falsification or alteration of data, records or documents;
- suppression or omission of the effects of transactions from records or documents;
- recording of transactions without substance;
- misapplication of accounting policies;
- misrepresentation in a financial report;
- misappropriation (theft) of assets;
- accepting or offering of bribes or inducements;
- disclosing of confidential information to third parties with a view to personal gain or gain for another person;
- presenting of false credentials or qualifications;
- knowingly submitting false timesheets, leave 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

Protected Disclosures Act 2000 and subsequent amendments, provides protection for

Compliance	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 Refer Otago Polytechnic policy CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing) for advice on how a Protected Disclosure can be made. |
| **Policy and Procedures** | 1. 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. Otago Polytechnic will not tolerate fraudulent activity, regards it as totally unacceptable, and will apply a principle of 'zero tolerance'.

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

4. All disclosures of dishonest or fraudulent practices will be treated seriously and investigated. All reported incidents of alleged fraud will be investigated fully and pursued through every means available. Appropriate restitution will be sought to ensure full recovery wherever possible and practicable. Appropriate disciplinary action will be taken and the appropriate authorities, including the police, advised under authorisation by the Chief Executive.

5. 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. Each manager 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. 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. Staff who may consider there are grounds for enquiry into fraudulent activity must advise their Manager, or the Chief Operating Officer (Fraud Control Officer), Director: Quality 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)Disclosure of Serious Wrongdoing Policy and associated Otago Polytechnic procedures.

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

10. Otago Polytechnic recognises that alleged or actual instances of theft or fraud can affect the rights and reputation of the person or persons implicated. All matters related to the case shall remain strictly confidential with all written information kept secure. Should any person improperly disclose such confidential information that person will be in breach of this policy and may become the subject of disciplinary action as a consequence.

11. The Finance and Audit Committee of Council will be advised of all instances of fraud or alleged fraud on a monthly basis or sooner if appropriate. |

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

13. The 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.

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:
    - has an electronic hierarchy approvals system
    - uses data mining for irregular and suspicious transactions via contracted audit biennially
    - maintains a centralised contracts database
    - has segregation of duties
    - checks high level vendor expenditure
    - has vendor creation approval processes
    - undertakes fraud risk assessment
    - maintains fraud awareness training

15. As a public entity, Otago Polytechnic will be transparent in dealing with external entities, including the police, and will conduct the investigation in a fair, businesslike manner. Where legally able, Otago Polytechnic will disclose instances of proven fraud on inquiry.

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

Applies to	All 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 Human Resources, will include it in business service agreements and will ensure that people are aware a copy of the policy is on Insite.
Referral Documents	Fraud Control Plan CP0009 Protected Disclosure of Serious Wrongdoing Policy (Whistleblowing) MP0444 Resolving Performance Problems MP1100 Intellectual Property (if applicable) Student Rights and Responsibilities

Delegation of Procedures	**Responsibility**

All staff have a responsibility to minimise and ensure that fraudulent activity does not occur.

Procedural guidelines

1. In the event of an allegation of theft or fraud the manager concerned shall advise the Chief Operating Officer (Fraud Control Officer), Director: Quality or Chief Executive immediately. Appendix C within the Fraud Control Plan states the full reporting channels matrix.

2. The Director; Quality or 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.

Approved by Council
Date: 7 November 2014

10. MATTERS FOR NOTING

The following documents are attached:
- Council Calendar (Appendix 1)
- Leadership Team Conflict of Interest Register (Appendix 2)
- Minutes
  - Komiti Kawanataka July and August (Appendices 3 and 4)
  - Staff Subcommittee 11 August and 8 September (Appendices 5 and 6)
  - Academic Board 18 and 29 July, 15, 25 and 31 August, 19 and 26 September (Appendices 7 - 13)
- The Student Council has not met since last reported.

COUNCIL CALENDAR 2016/17

Placeholders

Meeting/Event	Oct	Nov	Dec	Jan 2017	Feb	Mar	Apr	May	June	July	Aug	Sept
Audit Process												
Interim												
Signoff						31 Mar						
Forecast												
Budget												
Workshop/Draft	7 Oct											
Signoff		4 Nov										
Council Meeting Fridays	7 Oct Hokonui	4 Nov	2 Dec		3 Feb	3 Mar	7 Apr	5 May	3 June	7 July	4 Aug	1 Sept
Evaluations - Reviews - Report												
Function			9 Dec									
Photo					3 Feb							
Fees Set												
International												
Domestic												
Finance and Audit Ctee	28 Oct	25 Nov		27 Jan	24 Feb	31 Mar	28 Apr	26 May	30 June	28 July	25 Aug	29 Sept

Meeting/Event	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept
Graduation			9 Dec			10 Mar						
Maori Pre-Grad			8 Dec			9 Mar						
Komiti Kawanataka Thurs at 8am	20 Oct	17 Nov	15 Dec	19 Jan	16 Feb	16 Mar	20 Apr	18 May	15 June	20 July	17 Aug	21 Sept
Investment Plan Draft	20 Oct											
Approval												
Report												
Risk Management Review Policy												
Strategy Workshop Approval												
OP Events	25 Oct 4-6pm TOO Annual Sports Awards	Nov Showcases - details below	2 Dec Staff Christmas function		2 Feb Breakfast and Staff meeting							1 Sept Spring Breakfast
50th Anniversary Events	29/30 Sept International Symposium	11 Nov Sponsors evening 5 – 7pm										

Departmental Showcases
ART SITE opens evening of 18 November and runs till 24th November
EAD Thursday 10 November 5 – 8pm
Debrief Opening Thursday 17 November 5 – 8pm
Collections Friday 18 November

OTAGO POLYTECHNIC CONFLICT OF INTEREST REGISTER – LEADERSHIP TEAM

Register to be maintained for the 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 Interest with Otago Polytechnic
7 March 2016	Matt Carter	None	None
7 March 2016	Philip Cullen	City College Trustee Cliffs Road Trading	OP is 1/3 shareholder Potential only
11 Mar 2016	Phil Ker	Board Member: – Malcam Trust – Te Tapuae o Rehua – TANZ – Metro Group Convenor – selection panel for National Tertiary teaching Excellence Awards Glenys Ker, Programme Leader Capable NZ - spouse	
11 Mar 2016	Chris Morland	Ellen Morland, OP staff member	None
7 March 2016	Alistair Regan	Director: Upstart Trust and by default an interest in Otago Angels	None
	Josephine Regan	Interactive Exhibitions limited	Occasionally contracting to the Polytechnic in a number of areas including ABE, Design, Innovation Workspace
7 March 2016	Sue Thompson	None	None
11 Mar 2016	Jean Tilleyshort	Son-in-law is an OP staff member	None
30 April 2016	Mike Waddell	None	None

Minutes of a Meeting of
Te Kōmiti Kāwanataka

Held at 8.00am on 21 July 2016 in F215, Otago Polytechnic, Dunedin

PRESENT:	David Higgins (Chair)
	Eleanor Murphy
	Chris Morland
	Rebecca Swindells
	Rebecca Williams
	Khyla Russell
	Tessa Thomson
	Justine Camp
	Shaun Tahu
	Claire Aitken
	Ron Bull
	Richard Kerr Bell
	Sue Thompson
IN ATTENDANCE:	Debbie Davie (Minutes)
Karakia:	David Higgins

1. **Apologies**   Kathy Grant, Nola Tipa, Mike Collins, Odele Stehlin, Vicki Ratana, Jeanette Wikaira

2. **Minutes**
The minutes of the meeting held on 16 June 2016 were provided.

RECOMMENDATION   **David Higgins/Rebecca Williams**
that the minutes be approved as a true and correct record of the meeting.

AGREED.

3. **Matters Arising:**
Māori Annual Report (Sue Thompson)
   - Overall course completion rates looking pretty impressive, looking like Otago Polytechnic will be sitting at the top of the sector
   - Any decreases – have occurred in small bites across Otago Polytechnic rather than from one area
   - Kai Tahu cohort through Capable have contributed significantly
   - TEC are changing measures – to be more inclusive of part time students
   - 50% of students are completing within the minimum timeframe
   - Majority of learners enrolling through Capable get Advanced Standing (ADV) for year 1 and year 2, which means we don't consume EFTS. This is helpful for completion rates when not using all the EFTS required.
   - 5% increase in course retention rate – Māori rate has meet the target
   - 85 programmes have Māori EFTS and 42 of those programmes have a course completion rate that meets the target.
   - Nursing and OT have the highest completion rates for Māori
   - Headcount is up which is attributed to an increase in short courses

Kōrero Notes

- (Claire) Great report, interesting to find how some of the courses are so completely reliant on one person's relationships. There doesn't seem to be a lot of encouragement for students to have a placement with māori organisations or māori staff.
- (Justine) Important that relationships are maintained, more queries coming through KTO office for guidance.
- (Claire) OT won't recognise placements with Artcenta and Moana House as part of their degree (Nursing do).
- (Justine) They should be working towards bridging the relationship.
- (Claire) Bach of Social Services – Students with personal difficulties themselves, difficulties that resurface, that need support – is there supervision? Flexibility for students to take leave of absence from study, to get back on track?
  (Sue) Disciplinary cases falls within my portfolio
- (Claire) It would be ideal to have someone employed specifically to look after getting students to complete, keeping them on track.
- (Sue) Would need to be someone with mental health experience, counselling qualification etc. to manage the complex issues.

4. **Reports**
   Te Punaka Owheo Report (Rebecca W)

   Kōrero notes
   - Renovations, lots of coming and going and seeking advice.
   - Students are starting to come back, different holidays have been interesting to navigate. Yesterday held student lunch.
   - Two cohorts came through yesterday was good to make connections – three also turned up for lunch.
   - Welcome back to semester two student hangi planned for 3rd August
   - Have had approval for a budget to cover TPO till the end of the year
   - Started thinking about TPO launch – planning a meeting with KTO office to discuss further.
   - Rebecca S – Early June noticed an increase in academic support required, students planning for semester 2, queries around study link, financial support.
   - Richard – ISA Māori students with identity issues. Some aren't strong in their identities – suspect didn't feel necessarily safe to own Māori identity.
   - Rebecca S – Spending time at Cumberland Campus supporting students identifying as Māori. Further support needed for lecturers; to help with understanding how they can best support their students.
   - (Khyla) – Hairdressing a good example, understanding the complexities around disposing of hair.
   - (Justine) Have left Aoraki to settle in at this stage. They are not use to having full courses so are struggling with numbers. Being part of a main campus will have a big impact.
   - Rebecca S – Hasn't dealt with central Otago and capable students this month.
   - Rebecca W – Have had a good conversation with SOS staff.
   - Rebecca S – Has had ongoing contact with School of Social Services – requires fortnightly support. In the past have had delays in gaining information around students – this has now been rectified.
   - Rebecca W – Is also making appointments to meet staff in other schools.
   - Justine – Importance of identifying who you can get information from and building relationship with those people.
   - Rebecca S – Will be going on maternity leave shortly after orientation 2017.

   Connecting the Campuses
   - Khyla – The group that are trying to get the story telling have sent information out to Rūnaka Education people and Chairs. Looking at physical paths through four rūnaka will identify the story to be told for this site – connecting the sites/campuses.

   Kaitohutohu Report (Richard)
   The priorities for Kaitohutohu Team in 2016 are:

1. Achieve Educational Excellence (Main Goal). To have Māori participate and succeed in all aspects of learning.
   Target Result: To actively support Māori Centre to achieve the aspirations set out in Priority 3 of the MSF.
2. Be a resilient organization – To create a plan to develop a vibrant Māori research culture. To realize the aspirations as set out in Priority 6.
   Target Result: There is a notable increase in Māori research activity at Otago Polytechnic.
3. Collaborate with our communities – To have an effective partnership with Kai Tahu Māori. Strengthen OP as a place where Māori can work and learn as Māori by engaging with 6 Schools and Service areas.

Earn the confidence of communities by anticipating and exceeding Kai Tahu/ Māori educational aspirations.
- Successful conference in Lugano Switzerland, conference papers well received with other speakers re-scheduled to give the opportunity for all to attend. With one attendee registering in the conference specifically to hear the presentation. (Justine, Richard) (Priority 2 & Research & Enterprise)
- Continue to respond to ethics applications on behalf of KTO consultation (Richard) (Priority 2 & Research & Enterprise)
- Attended HRC consultation hui (Justine) (Priority 2 & Research & Enterprise)
- Met with R Humphrey and C Morland re AKO research (Justine) (Priority 2 & Research & Enterprise)
- Five Capable Assessments for Applied Management Degree held at Te Tapaue in Christchurch (Justine) (Priority 1)
- KTO Team catch-up
- Attended Academic Board meeting (Justine)
- Hosted and attended Te Tapuae strategy hui (Khyla, Tessa) (Priority 1 & Priority 3)

Ensure robust MSF Evaluation
- Ongoing work around the Māori Annual Report including organising a translator – Gianna Leoni (Justine, Debbie) (Priority 1)

To achieve different results for Kai Tahu/Māori learners so they remember us regardless of age.
- Met with Campus Development Planning Team to further discuss the OP Cultural (Khyla, Simon Kaan, Richard, Debbie).

Develop new and active partnerships with Māori to support our new KTO and Māori Centre direction

Other achievements (since last report) and Good news (not previously reported)
- Mihi Whakatau To welcome the US Ambassador to OP as part of a joint project with the Science Festival (Justine)
- Mihi Whakatau for agents from HELPCAT, Malaysia to OP to further engage in potential engineering programme partnership and new International students (Richard, Debbie)
- Campus Services - Blessing of New Space/S Block (Justine, Tessa, Richard)
- Attended Kaitohutohu Interviews (KTO Team)
- Attended hui in Auckland with Ngati Whatua (maintaining relationships) (Justine, Sue T, Phil K, Khyla)
- A fabulous night out at the Matariki Dinner

Challenges
- Attended EA meeting with Phil K to discuss restructure (Tessa)
- Attended Staff Forum with Phil Ker regarding Restructure (Tessa)

Coming up
- Capable PEAC (Justine, Richard, Khyla)
- Three Applied Management Degree Assessments for Capable (Justine, Richard) (Priority 1)
- Mihi Whakatau for Art School Reunion

Kōrero notes

- MAR – Priority two staff turnover has increased which will have a direct impact on priority three.
- Increasing number of Māori staff not foreseeing a future at OP
- The absence of Richard Kerr Bell in Capable is starting to impact with the next cohort of students now ready to enrol. They have an expectation that Richard will be part of their journey ensuring information and processes run smoothly as in the past.
- Intending to work with Māori staff in the 2nd semester to look at issues and how we can fix it – this needs to be a priority.
- Rebecca Swindells has had a positive impact on completion rate.
- (Khyla) Spent two days with the cohort at Tront where concerns were raised around Richards's absence, around processes not running smoothly and information not coming through in a timely manner. This also impacts on assessors.
- Consistency of type of information and preparedness makes a difference to how they achieve. We need to be mindful and hear what Tront and Iwi are saying.
- At this stage Richard is employed 0.3 FTE with Capable until the current cohort have gone through.
- (Chris) There will be significant role changes within the next few weeks which he expects will settle some of these issues (role currently sits between Chris & Sally Pairman).
- (Chris) Suggests Eruera Tarena (Te Tapaue) with David's support raise concerns with Phil Ker.
- HRC – Ministry of Health have decided (in partnership) to write a research strategy. There was nothing in the strategy that stood out and identified it as being a NZ strategy. Māori were listed as 'other'.
- Matariki dinner – great dinner, thank you for attending and letting us thank you for your ongoing support.
- Māori Annual Report - Being presented at the October Council meeting at Hokonui marae
- Acknowledged the ground where the student accommodation is being built – where the pipe is going through. (Richard & Tracey)
- Mihi Whakatau – ongoing conversations with International Office and the timeliness of information to ensure we are able to provide appropriate rūnaka representation.
- Mihi Whakatau – Starting to become a 0.4 role in itself and continues to increase. We need to start prioritising – splitting the team up is not an option.
- New Māori staff – John Webb starting on the 1st of August (check on availability of Patrick to support Mihi Whakatau).

5. General Business
Kaitohutohu (Closed meeting)

Richard closed meeting 10.09am

Minutes of a Meeting of
Te Kōmiti Kāwanataka

Held at 8.00am on 18 August 2016 in F215, Otago Polytechnic, Dunedin

PRESENT:	David Higgins (Chair)
	Eleanor Murphy
	Chris Morland
	Khyla Russell
	Justine Camp
	Ron Bull
	Richard Kerr Bell
	Kathy Grant
	Nola Tipa
	Jeanette Wikaira
	Michael Collins
	Rebecca Swindells
	Rebecca Williams

IN ATTENDANCE: Debbie Davie (Minutes)

Karakia: David Higgins

6. **Apologies**   Jeanette Wikaira (lateness)

7. **Minutes**
The minutes of the meeting held on 21 July 2016 were provided.

RECOMMENDATION   **Eleanor Murphy/Khyla Russell**
that the minutes be approved as a true and correct record of the meeting.

AGREED.

8. **Matters Arising: Kōrero Notes**
- Suggestion that now that the Māori Annual Report Māori target rates have been met the next step is to raise the target
- Clarification requested re placement conversation held at July meeting
With Artsenta no longer having a registered Occupational Therapist on site the School of Occupational Therapy are unable to send students there on fieldwork placement.
   o Has there been conversations between parties to find a way to rectify the issue that prevents this continuing?
   o Sustainability going forward – not relying on one person's relationships, setting up strategies that allows for continuity when there are staffing changes.
   o Having multi-disciplinary teams, job sharing rather than working in silos
   o Concern for Student Hui, Sponsor for next year (currently Khyla) if the current sponsor doesn't agree to continue next year who will know the kaupapa of the hui? Who can step in? Who can step in at School level if those currently attending are sick, unable to attend, leave – what contingency plans are in place?
   o Moana House still caters for and runs sessions for the School of Social Services hui. Claire continues to be a staunch OP supporter.
   o Both Claire and Jill Thomson – Artcentre are ex OP staff members, there continued support shouldn't be undervalued.

      o   Succession plans – huge issue in Te Ao Māori. Who replaces aging staff?

      o   Currently there are boundary issues for the School of OT with there no longer being a registered OT employed that can supervise students on placement – needs further exploring.

      o   Suggestion that the issues be raised with Registration bodies

Action – Chris to discuss further with Megan Gibbons and Sue Thompson in regard to getting Jill Thomson registered and to re-establishing access for OT students at Moana House for fieldwork placements.

Chris will report back.

- Meeting between David, Eruera Tarena and Phil Ker scheduled for Tuesday 23 August – suggestion that Chris also attend (agreed).
- Mihi Whakatau for new HOS for ABE John Webb did not take place – application withdrawn. Position will be re-advertised.

9. **Reports**
   Kaitohutohu Report (Justine)
   The priorities for Kaitohutohu Team in 2016 are:

   4. Achieve Educational Excellence (Main Goal). To have Māori participate and succeed in all aspects of learning.
      Target Result: To actively support Māori Centre to achieve the aspirations set out in Priority 3 of the MSF.

   5. Be a resilient organization – To create a plan to develop a vibrant Māori research culture. To realize the aspirations as set out in Priority 6.
      Target Result: There is a notable increase in Māori research activity at Otago Polytechnic.

   6. Collaborate with our communities – To have an effective partnership with Kai Tahu Māori. Strengthen OP as a place where Māori can work and learn as Māori by engaging with 6 Schools and Service areas.

Earn the confidence of communities by anticipating and exceeding Kai Tahu/Māori educational aspirations.
- Written the learning outcomes asked for by NZQA for the Masters of Applied Management and consulted with Sue Thompson (Justine, Richard) (Priority 1)
- Attended Ngāi Tahu Research Consultation Committee (Justine) (Priority 2 & Research & Enterprise)
- Now completed 10 (of the 20) Capable Assessments for Applied Management Degree held at Te Tapaue in Christchurch, reports written (Justine, Richard) (Priority 1)
- Facilitated candidates and presentation review/feedback (Richard) (Priority 1)
- Read through final draft for Candidate ready for Capable assessment (Justine) (Priority 1)
- Ongoing book reviews (Justine, Richard) (Priority 2)
- Ethics consultation with Nursing students for year projects (Richard) (Priority 1)
- Continue to respond to ethics applications on behalf of KTO consultation (Richard) (Priority 2 & Research & Enterprise)
- Flights & Accommodation organised for Dr Justin Ihirangi Heke keynote speaker at the OISA Conference planned for the October (Debbie)
- Attended Otago University School of Business hui regarding potential collaborations with Ngāi Tahu (Justine, Richard)
- Attended monthly Research & Enterprise committee (Justine) (Priority 2 & Research & Enterprise)
- Attended meeting with Marc Doesburg regarding cultural content in short courses (Justine) (Priority 1)
- Flights organized for Stuart McDonald and Karam Hood for Symposium in September planned with School of Art and Design (Tessa) (Priority 2 & Research & Enterprise)
- Attended OPCS – Public Realm workshop – part of campus redevelopment looking at outside spaces
- Met with Simon Kaan regarding Campus Redevelopment (Justine)

Ensure robust MSF Evaluation
- Finishing off the last bits of work for the Māori Annual Report – waiting on cover 'mock up' (Justine) (Priority 1)

To achieve different results for Kai Tahu/Māori learners so they remember us regardless of age.
- Met with Campus Development Planning Team to further discuss the OP Cultural environment (Simon, Kaan, Justine).
- Met with Simon Kaan regarding Campus Redevelopment (Justine)

Develop new and active partnerships with Māori to support our new KTO and Māori Centre direction

Other achievements (since last report) and Good news (not previously reported)
- In conjunction with TPO we organised student hangi (Ron, Justine, Debbie)
- Mihi Whakatau to welcome distance students form the Diploma Ceramic Arts programme
- Picked up Art for Mike Collins (Justine)

Challenges (current, since last report)
- Health & Wellbeing of the Kaitohutohu team

Coming up (what is next on your agenda)

Kaitohutohu Team

Kōrero notes
Justine – spoke to report, will be her last meeting.
- Ta Moko Symposiums – Thursday 8th and Friday 9th September – key note speakers: Stuart McDonald & Karam Hood
- Campus Development – connecting pathways, connecting everybody's stories.
    - There will be different pathways through the Hawea and Cromwell areas
    - We need as much access as possible to stories, Ōtākou stamping history of Dunedin so have asked if could name the student accommodation complex.
- Acknowledgment made to both Justine and Khyla for reports to date. Suggestion going forward that strategic notes under relationships and KTO direction with supporting Te Punaka Owheo (identifying the relationships) is also included.
- Request for an update on the Māori Annual Report
    - Currently with the designer, introduction from David is still to be added, cover has been chosen and translation completed. Expecting a draft to go out next week.
    - Suggestion that it be sent/emailed to rūnaka prior to Council meeting. Rūnaka meetings are held every two months.

David acknowledged informative report.

10. **Reports**
    Te Punaka Owheo (TPO) Report (Rebecca W)

Kōrero notes
- Renovations are very near completion – sail cloth still to go up between TPO and Poho and there is still some furniture to purchase.
- Launch – Whakamahana Friday the 9th September at 8.15am. Ceremony followed with breakfast. Invitations to go to Komiti, Council, Te Huka Mātauraka at University of Otago, Māori staff and students, Rūnaka - expecting around 50 people.
    - Suggestions that David (or Edward) haere mai and whakamahana Te Punaka Owheo
- Puketeraki held a meeting last week, there was a brief update on Te Punaka Owheo followed by discussion around education and how we all work together.
- Met with Minister of Education – discussions from early childhood through to tertiary

- Student hui – OP hui were mentioned as a best practice model, discussion around the crisis of māori teaching.
- (RS) July busy following up on student attendance
  - Lost one student, attendance issues mainly around people being sick or not getting back from holiday in time.
- (RKB) Met with student success to discuss how they can support differently
- Enquiry into the reasoning behind meeting with the Wellness Centre
  - Foundation that finishes in the middle of the year, initial meeting with Rebecca W and Rebecca S have scheduled another meeting to further discuss next year. It's about engaging students in the middle of the year.
  - The person that's being approached is Māori?

11. Connecting the Campuses
The group undertaking to get the story telling have sent information out to rūnaka education people and Chairs. Looking at physical paths through the four rūnaka will identify the story to be told for this site – connecting the sites/campuses.

12. **General Business**

- This is the last meeting that Nola will be able to attend with her new appointment as Kaiarahi Matauraka unless in the area.

    Closed meeting discussions

13. **Closed** meeting 10.08am

Staff Subcommittee of Council

Thursday 11 August 9.00 – 10.00am H134

Present:	Jono Aldridge (Acting Convener)	Barbara Dunn (VET)	
	Phil Edwards (ISA)	Ian Barker (DES)	
	Stuart Terry (QLM)	Jono Aldridge (ISS)	
	Becca Black (OPN)	Mary Butler (TOO)	
Apologies:	Kim Reay (TOO)	Jacqui Hayes (DOR)	
	Philip Ballard (ABE)	Karen Blackwood (TOO)	
	Kay Lion (EAD)	Karole Hogarth (NUR)	
	Sheena Roy (SSS)		
In Attendance:	Julie Waldron (Minutes)		

Apologies	Accepted.

Minutes of July meeting	Minutes accepted as true and correct record.
	Agreed.
	
	Resignation from SSCC
	Stuart Allan has stepped down from the committee due to the reduction of his work days.
	
	Actions / Matters Arising from Last Meeting
	Draft Mission & Vision statement – it was agreed to close the loop on provision of feedback due to adequate all of staff opportunities and open staff process for involvement.
	Staff Wellbeing Strategy- SSCC members were encouraged to attend the H&S Staff Forum the next day to offer feedback on areas which may require more visibility, which includes the sustainability of work patterns.
	Phil E recommended an extension of the close off date for submissions.
	    ➢ Jono to contact Andy.
	Governance Presentation John Christie - carried over
	Term of SSCC Membership – carried over
	SSCC Profile/Communications with Kathryn Van Beek – carried over
	Aging Workforce - There was discussion around the purpose of the report and possible implications for aging staff. Jono will follow up with Matt and Kathryn to have the report included in the Leading News.
	    ➢ Julie will forward to SSCC when available.
	Rainbow Tick - Stuart T advised that the Rainbow assessors would be visiting and attending workshops and focus groups at OP in September. A self paced learning package is now available on Moodle for all staff. http://moodle.op.ac.nz/ under My Courses, - LGBT
	OP Pulse Check - There was brief discussion on the recent Pulse Check released to staff. Stuart was able to provide an overview of its purpose, however the SSCC ask the "so what" tool/question ie. what outcome or actions as a result of the Pulse Check?
	    ➢ Jono to talk to Kathryn re actions for "closing the loop"
	SSCC Photos
	Jono advised that the committee member's photos are mostly done. For the few people still remaining it would be appreciated if they could update, and a reminder that Jono is happy to take the photo if required.

Other	Values update – good process being made, narrowed down to 4 specific areas with further work refining the draft scheduled for next month. **SSCC Photos** – Barbara will advise of times when Hayden will be available in The Hub for staff photos.
Leadership Restructure	A discussion commenced on the latest iteration of the LT Restructure and subsequent SSCC submission. It was felt that in general most staff do not fully understand the "why" ie. why an additional/second layer of management will actually make a difference. Phil Ker to advise when new Job Descriptions will be available. Due to timing constraints, it was agreed to reschedule the discussion to the following Monday 22 August.
Meeting Closed	10.00 am
Next Meeting (additional)	22 August 2016 – LT Restructure Submission, F215

ACTIONS – Summary / carry over

Person	Action	Date for completion
Jono	OP Pulse Check – Jono to talk to Kathryn re outcomes/closing the loop	By October
All	Ideas to raise SSCC Profile – explore preference for staff Drop In idea.	Ongoing – 4th semester
All/Jono	Draft Wellbeing strategy feedback – Jono to request extension for feedback	By end August
All	Leadership Team restructure – continue with feedback once detail available	August 26th
Phil Edwards	Check with University of Otago for their management of privacy concerns relating to staff reporting (using facilities such as the Vault)	
All	Decision on 2 or 3 year term	October meeting
Julie Waldron	Aging Workforce report distributed to SSCC when available	

Staff Subcommittee of Council

Thursday 8 September 8.30-9.30am F215

Present:	Jono Aldridge (Acting Convener)	Ian Barker (DES)	
	Stuart Terry (QLM)	Jacqui Hayes (DOR)	
	Sharon Ward (SSS)	Becca Black (OPN)	
	Stuart Terry (QLM)	Karole Hogarth (NUR)	
	Sheena Ward (SSS)		
Apologies:	Barbara Dunn (VET)	Phil Edwards (ISA)	
	Kim Reay (TOO)	Mary Butler (TOO)	
	Philip Ballard (ABE)	Karen Blackwood (TOO)	
	Kay Lion (EAD)	Michelle Watt (NURS)	
In Attendance:			
	Julie Waldron (Minutes)		

Apologies	Accepted.
Minutes of August meeting	Due to Phil Ker's attendance and discussion time constraints, the minutes were taken as a true and accurate record as no advice of amendments have been received.

Leadership Restructure	Phil joined the meeting and thanked SSCC for the two submissions received. A Q&A session followed covering –
	• Is the new structure a fit for purpose institution – "structure does not cure all"
	• Clarification on the meaning of:
	   o "Innovation" relating to the new structure
	   o "Business Development Group" a new team that responds to new ideas eg. the concept and development of a Craft Brewers Course and how that came about, leading to scholarships already being offered by the industry – ensures market opportunities, viability and keeping up with educational technology
	• The new structure will improve OP's communications and agility to market requirements
	• Moving from silo's – we need to synergise and align goals
	• Innovative improvements to ensure more efficiencies/outcomes from regular new management/team leader meetings – outcomes will deploy strategy and initiatives, having clear accountability
	• New groups will have terms of reference, accountabilities and connection points
	An Implementation Team has been formed and will meet regularly starting from next week. This team will morph into the Executive Team. There will be more clarification provided to staff outlining specifics of changes and implementation of in due course.

Health & Safety Framework	Andy joined for discussion on the H&S Framework, which was due to be finalised after the SSCC meeting presentation. Andy asked what the SSCC felt was missing from the new framework, a living document which is designed to be a one-stop-shop. This led to discussion on the content including – • Personal responsibility including First Aid refreshers • Induction improvements which all new staff are required to attend

	• A good H&S alignment with sustainability It was noted that the framework includes wider activities that OP facilitates, eg. staff SAP programme, standing desk options, resilience training, health and wellbeing initiatives such as Spring In 2 It, WES survey, Sargood gym and personal trainers, healthy eating options etc. A new initiative that Andy is looking into may be subsidised mole mapping. The new H&S Framework is on Insite http://insite.op.ac.nz/Knowledge%20Base/WELLBEING%20FRAMEWORK The SSCC recommend further communications and promotion of the Otago Polytechnic SAP programme especially at this time with the amount of change (leadership changes and workload issues for teams participating in D4LS/D4SE). Channels to do this could include digital signage (staff only screens), all staff email, Insite update, along with ongoing communications on everything offered under the H&S Framework. A timely reminder to all staff that the SAP programme is available to those who feel affected by the restructure, please ensure this is known in your area. http://insite.op.ac.nz/Knowledge%20Base/Staff%20Assistance%20Programme.aspx
Meeting Closed	9.30 a.m.
Next Meeting (additional)	6 October, 2016 SSCC to consider what type of promotion for the committee on the staff Visual Display screens, along with SSCC reminders on the screen promoting wellbeing eg. Christmas Responsible Host responsibilities, sun smart over summer, flu injections March/April etc

ACTIONS – Summary / carry over

Person	Action	Date for completion
Jono	OP Pulse Check – Jono to talk to Kathryn re outcomes/closing the loop	By October
All	Ideas to raise SSCC Profile – explore preference for staff Drop In idea.	Ongoing – 4th semester
Phil Edwards	Check with University of Otago for their management of privacy concerns relating to staff reporting (using facilities such as the Vault)	
All	Decision on 2 or 3 year term	October
Julie Waldron	Aging Workforce report distributed to SSCC when available	

Staff Subcommittee of Council

Thursday 7 July 2016 8.30 am – 9.30 am
F215 - Leadership Room, Forth Street, Dunedin

Present:	Jono Aldridge (Acting Convener)	Kay Lion (EAD)	
	Phil Edwards (ISA)	Stuart Terry (QLM)	
	Philip Cullen (LT Rep)	Becca Black (OPN)	
	Sheena Roy (SS)	Michelle Watt (NUR)	
Apologies:	John Christie (Council Rep)	Barbara Dunn (VET)	
	Karen Blackwood (TOO)	Stuart Allan (ABE)	
	Kim Reay (TOO)	Karole Hogarth (NUR)	
	Phil Edwards (ISA)	Daniel Pfyl (HSS)	
	Philip Ballard (ABE)		
In Attendance:	Julie Waldron (Minutes)		

1. Apologies	Accepted.
2. Minutes of June Meeting	Minutes accepted as true and correct record. Agreed. ***Actions / Matters Arising from Last Meeting*** **Draft Mission & Vision statement feedback** – agreed to close the loop and move focus to the upcoming Values workshop and feedback. **Staff Wellbeing Strategy ex Andy West** and sub group to be formed to review – carried over **Internal Communications, Staff Hub** – Kathryn Van Beek to be rescheduled **Governance Presentation John Christie** - carried over **Term of SSCC Membership** – carried over **SSCC Profile** – carried over
Council Open Session meetings	It was agreed that a SSCC member would accompany the Convenor to the open sessions and could be rotated among those interested. It was acknowledged that Council Open sessions were available to all staff to attend. If interested, contact Jono. The Schedule of Council meeting dates will be placed on the SSCC home site for committee reference ➢ Action – Julie ✓
General	**Aging Workforce** In relation to the recent visit and interviews around the OP Aging Workforce, it was agreed that the SSCC would be interested in reviewing and providing feedback on the subsequent report, and for the report to be placed on the SSCC site when available. ➢ Action – Julie **Rainbow Tick** Stuart Terry advised of OP's support and work towards obtaining the "Rainbow Tick", a certification mark awarded to organisations that complete a Diversity & Inclusion certification process. It was agreed that Stuart would advise SSCC further on OP's action plan regarding certification and to place on an upcoming agenda.

Leadership Restructure	The recent announcement from Phil Ker on the planned Leadership Team restructure was discussed based on the overview provided at the two Staff Forums, and the statement in the recent Leading News email.
	➤ Action – Julie to request Kathryn V B places a reminder to staff of the Monday Forum audio ✓
	Phil K has advised that he will release his intentions via a more refined proposal on the 8th August, then a 3 week consultation period to follow.
	There was a round table discussion for initial thoughts. Subsequently it was agreed to commence draft SSCC feedback to Phil based on the minimal information available, and continue once further detail is released 8th August.
	Philip Cullen advised that the D4SE project had not influenced the restructure and was a separate process running parallel.
Council papers- items for noting	• Upcoming meeting 5 August to set Student Fees 2017
Meeting Closed	9.40 am
Next Meeting	4 August 2016

ACTIONS – Summary

Person	Action	Date for completion
All	Ideas to raise SSCC Profile – explore preference for staff Drop In idea.	Ongoing
All	Draft Wellbeing strategy (when available) - feedback to Phil Ker	TBA
All	Draft Leadership Team restructure – continue with feedback once detail available	
Phil Edwards	Check with University of Otago for their management of privacy concerns relating to staff reporting (using facilities such as the Vault)	
All	Decision on 2 or 3 year term	Sept meeting
Julie Waldron	• Council meeting date schedule placed on SSCC site • Reminder re audio of Staff Forum to Kathryn V B • Aging Workforce report distributed to SSCC when available	✓ ✓

Academic Board

Minutes of the Academic Board meeting held on 18 July 2016
(final approval gained electronically 21/07/2016)

Present (7 not a quorum): Sue Thompson, Sally Pairman, Sally Baddock, Doris Lancaster, Justine Camp, Sam Mann, Lesley Smith, Pam Thompson (Secretary)

Apologies: Phil Ker, Megan Gibbons, Linda Kinniburgh, Mereana Rapata-Hanning, Richard Mitchell, Chris Morland, Leoni Schmidt, Nick van der Walt (Lync connection audio failed)

Electronic meeting sent 20/07/2016 1.53pm
Items approved with the exception of A62/16 which will be reviewed and amended for August meeting
Responses received from:

1.	Sue Thompson	20/07/2016	1.53pm
2.	Sam Mann	20/07/2016	2.34pm
3.	Lesley Smith	20/07/2016	3.10pm
4.	Richard Mitchell	20/07/2016	3.11pm
5.	Sally Baddock	20/07/2016	3.16pm
6.	Phil Ker	20/07/2016	3.45pm
7.	Leoni Schmidt	20/07/2016	3.48pm
8.	Chris Morland	20/07/2016	4.02pm
9.	Sally Pairman	20/07/2016	5.05pm
10.	Megan Gibbons	21/07/2016	8.30am
11.	Linda Kinniburgh	21/07/2016	11.05am

Quorum (10) achieved 21/07/2016

1. **A45/16** Minutes from 1 July 2016 for approval as true and correct record - matters arising **Recommendation 1**: That Academic Board approve the 1 July 2016 minutes as a true and correct record.
   Agreed: Sally Baddock/Lesley Smith

   Matters arising: Item 4 approval of "skinny" documents for accreditation of programme of study for NZ Certificate in (Construction Stonemasonry) (Level 4) and NZ Certificate in Business (Administration and Technology) (Level 3) requires alteration to recommendations 4a and 4b.

   Discussion around TANZ "skinny" accreditation document:
   - missing ingredients as far as OP is concerned – OP frameworks not visible especially Maori and Sustainability
   - development of pre-degree programmes for NZQA accreditation – accreditation document developed by one ITP then shared and can be used by others within TANZ group. "skinny" document agreed and approved by TANZ CE group and TANZ Academic Directors for adoption by TANZ partners
   - potential difference between what we develop and what we inherit?
   - 2 phase approval process through AcBd
     - o Accreditation for "skinny" document then
     - o "Part 2" document (?) Academic Board would like to understand better the next step(s) and additional documentation to see where the integration of the frameworks becomes visible
   - If blueprint/matrix used in D4LS process shows evidence of the integration, can AcBd see the blueprint with the accreditation document that they are approving?
   - Learner capability and OP frameworks will be integrated in the learning and teaching activities and assessments for borrowed/shared qualifications.

Options for consideration for improvement of the "skinny" document and for a 2 phase approval process:

1. Formal process back to NZQA – we write formally to NZQA to question the lack of Maori specific references in the accreditation approval phase
2. Refer discussion about generic and inclusive statements into the "skinny template" to TANZ Academic Directors for resolution
3. Development and thinking around the part 2 documentation

Amendment to recommendations 4a and 4b to ensure NZQA receives an unencumbered recommendation:

Recommendation 4a: That Academic Board approve the NZQA accreditation document for the NZ Certificate in Stonemasonry (Construction Stonemasonry) (Level 4).
Agreed: Sue Thompson/Sam Mann

Recommendation 4b: That Academic Board approve the NZQA accreditation document for the NZ Certificate in Business (Administration and Technology) (Level 3).
Agreed: Sue Thompson/Sam Mann

With additional requirement: Academic Board requires that Levels 1 – 6 programme of study development must provide further documentation to Academic Board for approval about how the Strategic Frameworks are integrated prior to delivery*.
*Where there may be exceptional/extenuating circumstances then a case may be put to Academic Board for consideration
Agreed: Sue Thompson/Sam Mann

Actions: Sally Pairman and Liz Stewart to lead discussion at next Academic Board meeting 15 August 2016 to explain D4LS process steps, clarification of terminology of the different pieces of documentation, and how integration of the frameworks is happening. Also to provide an example of what the "part 2" documentation may look like and provide the visible evidence that is currently not evident in the accreditation "skinny" document.

2. **A46/16 and A47/16** Type 2 Accreditation Applications*
   A46/16
   NZ2453 New Zealand Certificate in Business (Introduction to Team Leadership) (L3)
   NZ2456 New Zealand Certificate in Project Management (Level 4)
   NZ2462 New Zealand Certificate in Business (First Line Management) (Level 4)

   A47.16
   NZ2236 New Zealand Certificate in Retail (Level 4)

   Discussion:
   - Inconsistency in these documents from CPIT (now ARA)
   - Poorly written
   - Should we be approving sub-standard documents? *NOTE: There needs to be compelling reasons not to pick up TANZ partners existing programmes of study where these are considered unsatisfactory and feedback given to the TANZ partner, as this is a TANZ agreement*
   - If being delivered need assurance that contextualisation of Otago Polytechnic requirements and the integration of the frameworks will be visible in "part 2" documentation.

*Additional point of clarification – these accreditation applications are for TANZ eCampus. OP is not delivering these programmes, the owning institution is delivering them, however OP has to get accreditation for enrolment/EFTS purposes only.

Recommendation 1: That Academic Board approves the application for accreditation for the NZ2453 New Zealand Certificate in Business (Introduction to Team Leadership) (Level 3), NZ2462 New Zealand Certificate in Project Management (Level 4), NZ2456 New Zealand Certificate in Business (First Line Management) (Level 4).

Agreed: Sue Thompson/Justine Camp

Recommendation 2: That Academic Board approves the application for accreditation for the NZ2236 New Zealand Certificate in Retail (Level 4).
Agreed: Sue Thompson/Lesley Smith   ***Abstain: Sam Mann***

3. **A48/16** Type 2 change entry criteria - NZ2490 New Zealand Certificate in Animal Technology (Level 5) (Veterinary Nursing Assistant)
    Recommendation: That Academic Board approves the Type 2 change to Entry Criteria for NZ2490 New Zealand Certificate in Animal Technology (Level 5) (Veterinary Nursing Assistant).
    Agreed: Sally Pairman/Sally Baddock

4. **A49/16** Type 2 change entry criteria - NZ2487 New Zealand Certificate in Animal Care (Level 3) (Companion Animals)
    Recommendation: That Academic Board approves the Type 2 change to Entry Criteria for NZ2487 New Zealand Certificate in Animal Care (Level 3) (Companion Animals).
    Agreed: Doris Lancaster/Lesley Smith

5. **A50/16** Type 1 Changes and Paths of Study for Certificate of Proficiency – as listed

    Remove item 11842.18 CAPL Master of Professional Practice – pending further discussion in CapableNZ around combining courses versus changing the credits.
    Recommendation 1: That Academic Board approve the Type 1 changes as listed.
    Agreed: Sue Thompson/Sally Pairman

    Remove the following enrolments from the list of Certificate of Proficiency approvals (COP courses are for individuals not group enrolments):
    HF422295   Use freehand drawing as a communication tool in landscape work
    HF422207   Prepare working drawings for landscape work
    AB406917A7   Demonstrate basic chainsaw operation
    BX660107C   Creating Living Buildings
    Recommendation 2: That Academic Board approve the individual Paths of Study for Certificate of Proficiency students as listed.
    Agreed: Sue Thompson/Sally Baddock

6. Quality and Approvals Committee - recommendations for approval

    A51/16 (QAC04/16) Type 2 change OT5025 Bachelor of Social Services and OT5113 Graduate Diploma in Social Services (Specialty).
    Recommendation 1: That Academic Board approves the Type 2 change to the OT5025 Bachelor of Social Services and OT5113 Graduate Diploma in Social Services (Specialty).
    Agreed: Sue Thompson/ Sally Pairman

    A52/16 (QAC05/16) NZ2539 New Zealand Diploma in Hospitality Management (Level 5).
    Recommendation 2: That Academic Board approves the application document for programme of study for NZ2539 New Zealand Diploma in Hospitality Management (Level 5).
    Agreed: Doris Lancaster/Lesley Smith

    A53/16 (QAC06/16) NZ2684 New Zealand Certificate in Land Based Sustainability Practices (Level 3).
    Recommendation 3: That Academic Board approves the application document for programme of study for NZ2684 New Zealand Certificate in Land Based Sustainability Practices (Level 3).
    Agreed: Sally Pairman/ Justine Camp

    A54.16 (QAC07/16) NZ2461 New Zealand Certificate in Business (Administration and Technology) (Level 4).
    Recommendation 4: That Academic Board approves the application document for programme of study for NZ2461 New Zealand Certificate in Business (Administration and Technology) (Level 4).
    Agreed: Lesley Smith/Sally Baddock

A55/16 (QAC08/16) NZ2206 New Zealand Diploma in Tourism and Travel (Level 5)
Recommendation 5: That Academic Board approves the application document for programme of study for NZ2206 New Zealand Diploma in Tourism and Travel (Level 5).
Agreed: Lesley Smith/Sally Baddock

A56/16 (QAC09/16) NZ2592 New Zealand Certificate in Computing (Intermediate Users) (Level 3)
Recommendation 6: That Academic Board approves the application document for programme of study for NZ2592 New Zealand Certificate in Computing (Intermediate Users) (Level 3).

Agreed: Sam Mann, Lesley Smith

7. **A57/16** Policy revision: AP0600.06 Academic Appeal Process for Learners
AP0600.06 Academic Appeal Process for Learners has been revised, has had the statutory compliance aspects updated, terminology corrected and the addition of appeal process diagrams as appendices. Further minor amendment required to compliance field – add Code of Practice for International Students 2016, and updated NZQA EER rules references.

Note: this policy is not part of the Learning and Teaching project to amalgamate some academic policies.

Recommendation: That Academic Board approve the revised policy AP0600.06 Academic Appeal Process for Learners for recommendation to the chief Executive for approval and signature.

Agreed: Sue Thompson/Justine Camp

8. **A62/16** new policy for approval AP0911.00 Honours, Distinction and Merit – this policy replaces AP0906 Grading Systems for Award of Postgraduate Qualifications.

Policy has been out for consultation 6 May 2016 - 3 June 2016 with 10 responses predominantly around clarification that merit and distinction will be awarded by all degrees and that there be alignment between postgraduate and undergraduate criteria for consistency with the following specific objections:
  * one programme area objected to awarding distinction and merit at undergraduate level
  * two programme areas questioned the B grade range to include B- which is a lower grade than previously
  * one programme area wanted to continue with distinction and merit at cert and diploma level.

For clarity:
  * The intention is that we will award distinction and merit to all undergraduate degrees for consistency - learners already wonder why some degrees do and others do not.
  * We will not have merit and distinction for NZ Certs and Diplomas - however those with existing programme requirements for merit and distinction will remain until programme expires.
  * For consistency all degrees and postgraduate qualifications will have alignment of grading using the same "grade range".

Further objections were made to the proposed policy that distinction and merit be awarded to all undergraduate degrees.
Also discussion around removal of B- for merit grade range – will re visit this before re-draft.

Recommendation: That Academic Board approve policy AP0911.00 Honours, Distinction and Merit for recommendation to the Chief Executive for approval and signature.

Proposed: Sue Thompson/(seconder required)

Not approved – changes to be made and new draft to AcBd 15 August meeting

9. Items for noting
A58/16 BEngTech (Civil) monitors report May 2016

A59.16 Dip Enrolled Nursing Monitors report May 2016

A60.16 Policies report

A61.16 a + b QAC minutes - June and July for noting

Recommendation: That Academic Board notes the provided monitors reports, QAC minutes and policy report.

Agreed: Sue Thompson/Justine Camp

10. NZQA feedback on proposed changes to a number of rule sets
The New Zealand Qualifications Authority (NZQA) is requesting your feedback on proposed changes to a number of NZQA Rule sets. The proposed changes seek to ensure that NZQA Rules are clear, reflect current practice and operational changes, and enable NZQA to effectively perform its quality assurance functions. See the Consultation on proposed NZQA Rule changes page for more details on the proposed enhancements. http://www.nzqa.govt.nz/about-us/consultations-and-reviews/proposed-nzqa-rule-changes/ NZQA is seeking feedback from 16 June 2016 – 11 August 2016.

Action: Sue Thompson will collate any feedback received from Academic Board members (or other key staff) via email and send to NZQA by 11 August 2016.

Next meeting: 15 August 2016, F209 Puna Kawa, 3pm.

Academic Board

**Minutes of the *electronic* Academic Board meeting held on
29 July 2016** *(final approval gained 2 August 2016)*

Responses from

1.	Linda Kinniburgh (move)	Approve 29/07/2016	9.08am
2.	Matt King (second)	Approve 29/07/2016	9.29am
3.	Sue Thompson	Approve 29/07/2016	10.01am
4.	Alistair Regan	Approve 29/07/2016	10.04am
5.	Sally Pairman	Approve 29/07/2016	10.21am
6.	Leoni Schmidt	Approve 29/07/2016	11.51am
7.	Phil Ker	Approve 31/07/2016	3.37pm
8.	Chris Morland	Approve 1/08/2016	2.42pm
9.	Sally Baddock	Approve 2/08/2016	1.50pm
10.	Megan Gibbons	Approve 2/08/2016	2.23pm
11.	Lesley Smith	Approve 2/08/2016	2.46pm

Quorum (10) achieved 2/08/2016

A64/16 **NZ2862 New Zealand Certificate in Foundation Skills (Level 2) – (QAC 10/16) application for approval of programme of study**

Background: NZQA told me (Liz) several weeks ago that communication would be sent out to the sector clarifying the issue of the qualification outline requiring programmes to specify a context; no communication has been received. As we cannot wait any longer, we have decided to abandon the requirement to specify a context, which seems to be counter to what our staff and indeed many of TANZ staff want to see at level 2. In our final design, we have developed a single programme of study without a named context; however students can choose either an education or an employment context in the final two courses. Those students who choose the employment-focused courses will have placements arranged (primarily) by OP staff. Students who choose the education-focused courses will not go on work placement. It is conceivable that a student may choose to do one of the two courses in each context, however it is envisioned that the majority will choose a single context.

We have embedded the literacy and numeracy unit standards across the programme; these are not compulsory and it is envisioned that these will be used primarily to assist learners to gain the literacy and numeracy part of NCEA L1. In addition, we've added a second separate unit standards based pathway to achieve the programme. We have put in an indicative matrix of unit standards; however as OP isn't delivering this programme until 2018 the list is not finalised.

Finally, we have stated that we intend to issue students with an award that states: New Zealand Certificate in Foundation Skills (Level 2) **with a focus in….**or **with an emphasis on…** Any feedback on the wording of the award is welcome. This will allow us to give students a context on their award without having to clog up the system with continual applications for formal named contexts. We hope NZQA will see reason with this; otherwise we will be buried in paperwork every time a new context comes up.

Several members have provided feedback thank you, with consensus being "with a focus".

Recommendation: That Academic Board approves of the application document for programme of study for NZ2862 New Zealand Certificate in Foundation Skills (Level 2).

Next scheduled: 15 August 2016

Academic Board

Minutes of the Academic Board meeting held on 15 August 2016

Present: Sue Thompson, Phil Ker, Megan Gibbons, Sally Baddock, Doris Lancaster, Justine Camp, Sam Mann, Lesley Smith, Richard Mitchell, Chris Morland, Leoni Schmidt, Kayla Miller, Pam Thompson (Secretary)
In attendance: Richard Nyhof, Liz Stewart, Richard Humphrey

Apologies: Sally Pairman, Linda Kinniburgh, Mereana Rapata-Hanning, Justine Camp

Quorum (10) achieved

11. **A63/16** Minutes from 18 July 2016 for approval as true and correct record and matters arising
   Recommendation 1: That Academic Board approve the 18 July 2016 minutes as a true and correct record.
   Agreed: Sue Thompson/Doris Lancaster

   Matters arising:
   Note to item **A45/16** additional requirement about possible 'part 2' approval documentation containing Otago Polytechnic contextualisation - this will be covered later in this meeting's agenda presentation by Liz Stewart/Richard Nyhof about possible 'part 2' approval documentation containing Otago Polytechnic contextualisation.

   Item **A62/16** policy AP0911.00 Honours Distinction and Merit – redrafted from feedback received with amendments being:
   - Degree(s) choice to award merit and distinction where sound justification approved by academic board not to award
   - Amended 'B grade range' for Merit

   Note: Bachelor of Midwifery have provided sound justification in their consultation feedback – no merit or distinction awarded for Bachelor of Midwifery.

   Additional discussion and subsequent minor amendments to policy for clarity before sending to CE for signing:
   - No Distinction or Merit will be awarded for Doctoral programmes
   - All deliveries of a degree, post graduate, or masters qualification will have the same merit and distinction rules applied.

   Recommendation 2: That Academic Board approve policy AP0911.00 Honours, Distinction and Merit for recommendation to the Chief Executive for approval and signature.
   Agreed: Sue Thompson/Doris Lancaster

   A65/16 Minutes from 29 July 2016 electronic meeting for approval as true and correct record – matters arising
   Recommendation 3: That Academic Board approve the 29 July 2016 minutes as a true and correct record.
   Agreed: Sue Thompson/Megan Gibbons

12. **A66/16** Type 1 changes, retrospective changes and certificate of proficiency enrolments
   Recommendation 1: That Academic Board approves the Type 1 Change Approvals as listed.
   Agreed: Sue Thompson/Richard Mitchell

Recommendation 2: That Academic Board approves the Type 1 Retrospective Change Approvals as listed.
Agreed: Sue Thompson/Sally Baddock

Recommendation 3: That Academic Board approves the individual Path of Study for Certificate of Proficiency students as listed.
Agreed: Sue Thompson/Richard Mitchell

Question raised re language used – "concurrent" vs "conjoint"

TEC use 'Concurrent' – Concurrent Study

StudyLink have both in their glossary:
- Concurrent – when courses are from one qual contribution to the completion of another.
- Conjoint – when the student will complete BOTH qualifications.

At Otago Polytechnic we get approval to use courses from one qualification to be used by students to complete another qualification – concurrent.
See appendix 1 for TEC definitions Concurrent programmes and Conjoint programmes

13. **A67/16** Type 2 Accreditation application for delivery of Future Skills Academy's NZ Diploma in Building Surveying (Level 6) (NZ3030) at OPAIC
    Recommendation: That Academic Board approves the application for accreditation for the programme of study NZ3030 New Zealand Diploma in Building Surveying (Level 6) for delivery at the Otago Polytechnic Auckland International Campus.
    Agreed: Sue Thompson/Chris Morland

14. **A68/16** Type 2 application for Accreditation to deliver Ara's New Zealand Diploma in Enrolled Nursing (NZ2889)
    Recommendation: That Academic Board approves the application for accreditation to deliver NZ2889 New Zealand Diploma in Enrolled Nursing.
    Agreed: Sue Thompson/Sally Baddock

15. **A69/16** Type 2 Accreditation application for Cross Learning's integrated programme of study - Diploma in Business, Tourism and Outdoor Adventure (Level 6) (Programme of Study document)

    This programme of study leads to the following qualifications:
    1. NZ2207 New Zealand Diploma in Tourism and Travel (Level 6)
    2. NZ2460 New Zealand Diploma in Business (Leadership and Management) (Level 6)
    3. NZ2571 New Zealand Certificate in Outdoor Experiences (Level 4)

    Please note there is no owning school as this is a sub-contracted delivery back to Cross Learning.

    Discussion focused on:
    - Accreditation for convenience – business arrangement with programme delivered by Cross Learning
    - Adequate safeguards and close scrutiny of delivery to ensure Quality Assurance
    - OP enrol students and subcontract to Cross Learning, as partner, to deliver
    - Evidence of integration of OP frameworks – would like to see a matrix of the alignment to OP's frameworks

    Action: Hold this item over until September meeting – matrix to be prepared showing alignment to OP's frameworks.

16. **A70/16** Type 2 Accreditation and approval application for AIC to deliver NorthTec's programme of study for the NZ1884 NZ Cert English Language (Professional/Academic) (Level 5).
    Recommendation: That Academic Board approves the application for accreditation and approval of NZ1884 New Zealand Certificate in English Language (Professional Academic) (Level 5) for delivery at the Auckland International Campus (AIC).
    Agreed: Sue Thompson/Leoni Schmidt

17. Quality and Approvals Committee - recommendations for approval
    A71/16 (QAC11/16) NZ2220 New Zealand Certificate in Agriculture (Farming Systems) (Level 3).
    Recommendation 1: That Academic Board approves the application document for programme of study for NZ2220 New Zealand Certificate in Agriculture (Farming Systems) (Level 3).
    Agreed: Sue Thompson/Richard Mitchell

    A72/16 (QAC13/16) NZ2459 New Zealand Diploma in Business (Accounting), (Leadership & Management) (Level 5).
    Recommendation 2: That Academic Board approves the application document for programme of study for NZ2459 New Zealand Diploma in Business (Accounting), (Leadership & Management) (Level 5).
    Agreed: Sue Thompson/Leoni Schmidt

18. Items for noting
    A73/16 QAC minutes 2 August 2016

    A74/16 Policies report

    <u>**Recommendation:**</u> That Academic Board notes the provided QAC minutes and policy report.

    Agreed: Sue Thompson/Megan Gibbons

19. **A75/16** Presentation by Liz Stewart and Richard Nyhof
    Our status as a Category 1 provider means we don't need to include a full document for accreditation. This, coupled with the TANZ 'skinny' programme document for subdegrees, has removed the OP contextualisation from the programme of study accreditation document.

    The "skinny" programme document is the easiest way to meet the requirements of NZQA to complete the centralised bureaucratic aspect of accreditation.

    However Academic Board are seeking reassurance that what has been designed meets the intended purpose and that the OP context and priorities will be evident in the delivered programme. Need something to provide the least amount of scrutiny for maximum assurance.

    Proposal of a "Part 2" document which summarises the current development blueprint (40+ pages) and matrix.

    - Development teams to write what they are doing in the blueprint and matrix then the "Part 2" summary is a tool to measure the capability and to test afterwards that the programme delivery will meet the OP specific requirements.
    - Part 2 becomes the guideline for evaluators (QAC) of the programme of study prior to recommendation to AcBd for final approval and before delivery.

    Proposed approval process for Academic Board:

    A. "Skinny document (QAC/AcBd)
    B. Summary "Part 2" document which contains evidence that the programme to be delivered is contextualised to OP frameworks (QAC/AcBd).

    Action: Richard Nyhof to add reference to a partner delivery of programme (e.g. Cross learning) to flow diagram.

Meeting closed 4.40pm

Next meeting: 20 September 2016, F209 Puna Kawa, 3pm.

Appendix 1

TEC definitions Concurrent programmes and Conjoint programmes

Concurrent programmes

A concurrent programme is where a student takes papers from two different education providers that are credited towards one recognised programme at one of the education providers. [1]

A programme of study that involves concurrent enrolment for Student Allowance purposes means:

- the programme has academic approval from the Heads of Departments at both tertiary education providers (evidence must be provided) and;
- the papers (from both education providers) will be credited towards one recognised programme and;
- the combined study programme must equate to full-time study.

One education provider will need to take responsibility for ensuring that the concurrent programme is confirmed by the Tertiary Education Commission. Alternatively, the lead education provider can supply StudyLink with a letter confirming the above.

Note the Tertiary Education Commission must approve concurrent enrolment programmes at Private Training Establishments.

Conjoint programmes

Conjoint programmes are where a student studies towards two recognised programmes at the same time, at one education provider.

For example combinations of programmes such as BA and LLB that have a special relevance to each other, which the tertiary provider has developed or recommended as a conjoint programme of study. The Tertiary Education Commission needs to have approved the conjoint programme for Student Allowance and / or Loan purposes and issued one programme code for the combined study.

Both programmes of study must be able to be completed within 200 weeks.

Academic Board

Minutes of the *electronic* Academic Board meeting held on 25 August 2016 *(final approval gained 26 August 2016)*

Responses from

1.	Sue Thompson (move)	Approve 25/08/2016	3.47pm
2.	Chris Morland (second)	Approve 25/08/2016	3.54pm
3.	Richard Mitchell	Approve 25/08/2016	3.55pm
4.	Alistair Regan	Approve 25/08/2016	3.56pm
5.	Leoni Schmidt	Approve 25/08/2016	4.27pm
6.	Sam Mann	Approve 25/08/2016	4.51pm
7.	Sally Pairman	Approve 25/08/2016	4.56pm
8.	Mereana Rapata-Hanning	Approve 25/08/2016	6.06pm
9.	Matt King	Approve 25/08/2016	6.11pm
10.	Sally Baddock	Approve 25/08/2016	6.38pm
11.	Megan Gibbons	Approve 25/08/2016	7.57pm
12.	Phil Ker	Approve 25/08/2016	11.30pm
13.	Kayla Miller (OPSA Pres)	Approve 26/08/2016	9.00am
14.	Linda Kinniburgh	Approve 26/08/2016	9.15am
15.	Lesley Smith	Approve 26/08/2016	11.39am

Quorum (10) achieved 26/08/2016

A77/16 (QAC15/16) CH3900 Bachelor of Architectural Studies: accreditation only using Ara's programme of study; will involve a reduced, one day panel visit later this year; Capability Document only item required as we are abiding by the already existing, NZQA approved programme of study.
Recommendation 1: That Academic Board approves the application for accreditation to use ARA's programme of study for CH3900 Bachelor of Architectural Studies document.

A78/16 (QAC12/16) NZ2834 New Zealand Certificate in Construction Trade Skills (L3) (Carpentry)
Recommendation 2: That Academic Board approves the application document for programme of study for NZ2834 New Zealand Certificate in Construction Trade Skills (Level 3) (Carpentry).

A79/16 (QAC14/16) NZ2491 New Zealand Diploma in Veterinary Nursing (L6)
Recommendation 3: That Academic Board approves of the application document for programme of study for NZ2491 New Zealand Diploma in Veterinary Nursing (Level 6).

A80/16 Accreditation application for Downie Stewart Foundations PTE trading as Moana House Training Institute (MHTI), integrated programme of study – Te Taketake Diploma in Addictions Counselling Level 7 (Programme of Study document). Moana House had its last EER in April 2015 with a Highly Confident in Educational Performance and Highly Confident in Self-Assessment. The EER report is attached for Academic Board information as well as the programme document and the NZQA confirmation letter.
Please note there is no owning school as this is a sub-contracted delivery back to Moana House Training Institute. The programme of study is delivered using a kaupapa Maori context with the majority of the learners being Maori. We are in conversation with Moana House about making sustainability and sustainable practice more explicit in the programme documentation at a later stage. This programme of study leads to the Te Taketake Diploma in Addictions Counselling Level 7 qualification.

Recommendation 4a: That Academic Board approves the application for accreditation to deliver Moana House training Institute's Te Taketake Diploma in Addictions Counselling Level 7.
Recommendation 4b: That Academic Board approves the TEC application for Te Taketake Diploma in Addictions Counselling Level 7 (3188).
Next scheduled meeting: 19 September 2016.

Academic Board

OTAGO
POLYTECHNIC
Te Kura Matatini ki Otago

Minutes of the urgent *electronic* Academic Board meeting held on 31 August 2016 *(final approval gained 5 September 2016)*

Responses from

1.	Sue Thompson (move)	Approve 31/08/2016	1.30pm
2.	Lesley Smith (second)	Approve 31/08/2016	3.05pm
3.	Sally Pairman	Approve 31/08/2016	3.06pm
4.	Megan Gibbons	Approve 01/09/2016	9.31am
5.	Sam Mann	Approve 02/09/2016	2.55pm
6.	Mereana Rapata-Hanning	Approve 02/09/2016	5.04pm
7.	Phil Ker	Approve 03/09/2016	9.34am
8.	Leoni Schmidt	Approve 05/09/2016	8.23am
9.	Chris Morland	Approve 05/09/2016	10.26am
10.	Linda Kinniburgh	Approve 05/09/2016	12.50pm
11.	Alistair Regan	Approve 05/09/2016	3.15pm

Quorum (10) achieved 5/09/2016

A82/16 OT5105 Doctor of Professional Practice

Urgent e-meeting due to NZQA timeframe to facilitate a panel visit before the end of the year please find attached the programme document for the Doctor of Professional Practice for approval.

We have been fortunate in that two key staff members at NZQA are also doing a pre-formal application review of the document to ensure that we have it "right".

Recommendation: That Academic Board approves the application for accreditation and approval for the programme of study for OT5105 Doctor of Professional Practice.

Next scheduled meeting: 19 September 2016

Academic Board

Minutes of the Academic Board meeting held on 19 September 2016

Present: Sue Thompson, Phil Ker, Linda Kinniburgh, Mereana Rapata-Hanning, Ron Bull, Jean Tilleyshort, Sam Mann, Lesley Smith, Chris Morland, Pam Thompson (Secretary – co-opted for quorum)
In attendance: Richard Nyhof, Liz Stewart

Apologies: Megan Gibbons, Sally Baddock, Kayla Miller, Doris Lancaster, Nick van der Walt, Matt King

Quorum (10) achieved
Apologies accepted – Agreed: Sue Thompson/Chris Morland

Welcome Ron Bull (Acting Kaitohutohu) and Jean Tilleyshort (Acting Director: Learning and Teaching) to their first meetings in their respective roles.

20. **A76/16** Minutes from 15 August 2016 for approval as true and correct record
    Recommendation 1: That Academic Board approve the 15 August 2016 minutes as a true and correct record.
    Agreed: Sue Thompson/Linda Kinniburgh

    Matters arising:
    A69/16 Type 2 Accreditation application for Cross Learning's integrated programme of study - Diploma in Business, Tourism and Outdoor Adventure (Level 6) (Programme of Study document) leading to the following qualifications:
    - NZ2460 New Zealand Diploma in Business (Leadership and Management) (Level 6)
    - NZ2207 New Zealand Diploma in Tourism and Travel (Level 6)
    - NZ2571 New Zealand Certificate in Outdoor Experiences (Level 4)

    Please note that this is a sub-contracted delivery back to Cross Learning.
    Action (from 15 August): Hold this item over until September meeting – matrix to be prepared showing alignment to OP's frameworks.

    Matrix showing integration and alignment to OP frameworks tabled.

    Recommendation 2: That Academic Board approves the application for accreditation to deliver Cross Learning's integrated programme of study for the Diploma in Business, Tourism and Outdoor Adventure leading to qualifications NZ2460 New Zealand Diploma in Business (Leadership and Management) (Level 6), NZ2207 New Zealand Diploma in Tourism and Travel (Level 6), and NZ2571 New Zealand Certificate in Outdoor Experiences (Level 4).
    Agreed: Sue Thompson/Mereana Rapata-Hanning

    Recommendation 3: That Academic Board approves the TEC application for NZ2460 New Zealand Diploma in Business (Leadership and Management) (Level 6), NZ2207 New Zealand Diploma in Tourism and Travel (Level 6), and NZ2571 New Zealand Certificate in Outdoor Experiences (Level 4).
    Agreed: Sue Thompson/Jean Tilleyshort

    __Action:__ Central Otago will be the "home" for this sub-contracted delivery. Phil to check MOU between OP Central Campus and Cross Learning NZ, evidence of an MOU is required by NZQA for accreditation to deliver.

A81/16 Minutes from 25 August 2016 for approval as true and correct record – note minor amendment to the programme code since the meeting, we use the same code as owing institution when accreditation only.
Recommendation 4: That Academic Board approve the 25 August 2016 minutes as a true and correct record.
Agreed: Lesley Smith/Chris Morland

A83/16 Minutes from 31 August 2016 for approval as true and correct record – no matters arising.
Recommendation 4: That Academic Board approve the 31 August 2016 minutes as a true and correct record.
Agreed: Mereana Rapata-Hanning/Lesley Smith

21. **A84/16** Type 1 Approvals, Retrospective Type 1 changes and Certificate of Proficiency enrolments
Recommendation 1: That Academic Board approves the Type 1 Approvals as listed.
Agreed: Sue Thompson/Linda Kinniburgh

Recommendation 2: That Academic Board approves the Retrospective Type 1 Approval as listed.
Agreed: Sue Thompson/Mereana Rapata-Hanning

Recommendation 3: That Academic Board approves the individual Path of Study for Certificate of Proficiency students as listed.
Agreed: Sue Thompson/Mereana Rapata-Hanning

22. **A85/16** Type 2 change – site accreditation for delivery of programmes at AIC
An application for site accreditation is required for the delivery of the following qualifications at the Auckland International Campus (AIC) – to cover staff development and CapableNZ assessment.
- OT5032 Certificate in Mata a Ao Maori (Level 4)
- OT5094 New Zealand Diploma in Engineering
- ND0670 National Diploma in Youth Work (Level 6)

3 way discussions between OP, Kai Tahu, and Ngati Whatua regarding the Certificate in Mata a Ao Maori and regionalisation of content and tikanga – these discussions are ongoing.

Recommendation: That Academic Board approves the site accreditation for the Auckland Internal Campus (AIC) delivery of OT5032 Certificate in Mata a Ao Maori (Level 4), OT5094 New Zealand Diploma in Engineering and ND0670 National Diploma in Youth Work (Level 6).
Agreed: Sue Thompson/Ron Bull

23. **A86/16** Type 2 application for two hairdressing qualifications:
- NZ2201 New Zealand Certificate in Salon Skills (Introductory) (Level 2) - using UCOL's Programme of Study Document
- NZ2411 New Zealand Certificate in Hairdressing (Salon Support) (Level 3) - using NMIT's Programme of Study Document

Recommendation 1: That Academic Board approves the application for Accreditation and Approval for the delivery of UCOL's Programme of Study for NZ2201 New Zealand Certificate in Salon Skills (Introductory) (Level 2).
Agreed: Sue Thompson/Mereana Rapata-Hanning

Recommendation 2: That Academic Board approves the application for Accreditation and Approval for the delivery of NMIT's Programme of Study for NZ2411 New Zealand Certificate in Hairdressing (Salon Support) (Level 3).
Agreed: Sue Thompson/Mereana Rapata-Hanning

24. **A87/16** Type 2 change to Gross Teaching Weeks for OT5111 Postgraduate Diploma in Applied Management and OT5112 Master of Applied Management.

   Recommendation 1: That Academic Board approves the change to Gross Teaching weeks (and associated 'hours per week" breakdown) for OT5111 Postgraduate Diploma in Applied Management.
   Agreed: Sue Thompson/Phil Ker

   Recommendation 2: That Academic Board notes the correction to Gross Teaching weeks (and associated 'hours per week' breakdown) for OT5112 Master of Applied Management.
   Agreed: Sue Thompson/Phil Ker

25. **A88/16** Policy Update AP0520.03 English Language Requirements for International Students and Those for Whom English is an Additional Language. Statutory compliance and clarity of terminology has been updated. Check acronym OET – is not present in table can be removed from the acronym list.
   Recommendation: That Academic Board approves the changes to policy AP0711.05 Delivery of Programmes by External Contracts and recommends it to the Chief Executive for approval and signature.
   Agreed: Mereana Rapata-Hanning/Linda Kinniburgh

26. **A89/16** Policy Update AP0711.05 Delivery of Programmes by External Contracts has had compliance information and appendices updated.
   Minor amendments to checklist to add reference to evidence of alignment to OP frameworks, and inclusion of an annual programme evaluation and review report and internal and external moderation processes.

   Recommendation: That Academic Board approves the changes to policy AP0711.05 Delivery of Programmes by External Contracts and recommends it to the Chief Executive for approval and signature, subject to minor additions to the checklist as above.

   Agreed: Sue Thompson/Ron Bull

27. **A90/16** Consultation is sought on current NZQA Offshore Delivery Rules.
   The New Zealand Qualifications Authority (NZQA) is seeking feedback from Tertiary Education Organisations (TEOs) on the current Offshore Programme Delivery Rules 2012 (Offshore Rules) settings and on the update of the Offshore Programme Delivery Guidelines 2012 (the Guidelines).

   NZQA's objective is to enable providers to deliver offshore, while preserving the high-quality reputation of New Zealand's qualifications.
   NZQA intends to publish updated Guidelines by the end of December 2016.

   Action: *That Academic Board members will provide feedback to Sue Thompson by 10 October 2016 to collate and submit to NZQA by 14 October 2016.*

28. **A91/16** Proposal to disestablish Work Based Learning Agreement Committee and replace with a system of peer review, reporting to CapableNZ Academic Committee.

   With the recently established CapableNZ Academic Committee, the CapableNZ Assessment Committee, and the CapableNZ Work-Based Learning Agreement Review Panel, it is proposed that the WBLA Committee should be replaced with a robust peer review process for approval of individual work based learning agreements that reports directly to the CapableNZ Academic Committee, rather than through QAC, to Academic Board.

   Recommendation 1: That Academic Board notes the formation of the CapableNZ Academic Committee, the CapableNZ Assessment Committee, and the CapableNZ Work-Based Learning Agreement Review Panel.
   Agreed: Sam Mann/Mereana Rapata-Hanning

   Recommendation 2: That Academic Board approves the removal of 7.3 Work Based Learning Agreement Committee from policy AP0101 Academic Board. The function of this committee will transfer to the

CapableNZ Academic Committee (governance), CapableNZ Assessment Committee (process), and the CapableNZ Work-Based Learning Agreement Panel (Learning Agreement Approval).
Agreed: Sam Mann/ Linda Kinniburgh

Recommendation 3: That Academic Board approves progression of this structure change to amend the Graduate Diploma of Professional Practice, Master of Professional Practice, and the Graduate Diploma in Tertiary Education programme of study documents in conjunction with the standard Quality Enhancement Centre Type 1 change application process.
Agreed: Sam Mann/ Chris Morland

29. **A92/16** NZQA Business Qualifications Advisory Committee - for noting
An advisory committee for New Zealand Business qualifications was established in July 2016, to provide industry and education expertise to NZQA Qualifications Services on behalf of the sector.

The advisory committee replaces the Business Qualification Developer Group (BQDG), which was disestablished at the same time.

Business qualifications advisory committee members are:
- Adam Hollingworth, Ara Institute of Canterbury
- Allan Murphy, Trade Education Ltd & Driving Success Ltd
- Annemarie McManus, NZQA Qualifications Services
- Helen McPhun, Learn Plus Limited & MCZOOM Ltd
- John Modlik, Te Wānanga o Aotearoa
- Kay Lion, Otago Polytechnic
- Kharen Hope, The Skills Organisation
- Naomi Hughes, Aotahi Limited
- Terry Swanson, Kiwi Institute of Training Education

Recommendation: That Academic Board notes the establishment of the NZQA Business Qualifications Advisory Committee (replacing the Business Qualification Developer Group (BQDG) from July 2016.
Agreed: Sue Thompson/Phil Ker

30. General Business items for noting
A93/16 Policies report

A94/16 QAC minutes 6 September 2016

A95/16 - AIC BTS Articulation Agreement - 2 docs attached for noting

A96/16 - AIC approval and accreditation granted - MastAppMgt/PGDipApMgt/PGCertAppMgt - with majors in Business Management and Business Information Systems (copy of approval document attached).

A97/16 - eQuate newsletter September (NZQA quality assurance-related newsletter). Click on the link to access eQuate: http://www.nzqa.govt.nz/about-us/publications/newsletters-and-circulars/equate/september-2016/

Recommendation: That Academic Board notes the attached minutes, report, documents and newsletter.

Agreed: Sue Thompson/Mereana Rapata-Hanning

31. QAC item for approval from 6 September meeting
A98/16 (QAC17/16) NZ2863 New Zealand Certificate in Study and Career Preparation (Level 3).

Recommendation: That Academic Board approves the accreditation and approval of the programme of study for NZ2863 New Zealand Certificate in Study and Career Preparation (Level 3).
Agreed: Sue Thompson/Jean Tilleyshort

32. A75/16 follow up presentation by Liz Stewart and Richard Nyhof
Amended flowchart of programme design and approval process presented.

Discussion:

The "skinny" programme document for Levels 1-6 qualifications the easiest way to meet the requirements of NZQA to complete the centralised bureaucratic aspect of accreditation. The additional internal detail and alignment to OP frameworks comes later.

However Academic Board are seeking reassurance that what has been designed meets the intended purpose and that the OP context including strategic frameworks and priorities will be evident in the delivered programme. Need something to provide the least amount of scrutiny for maximum assurance.

A scoping document that has been approved by Leadership team is back in and is a mandatory starting point – this step has somehow slipped out of the process in the past year.

The flowchart and process is up for further discussion at the next Academic Board meeting as part of the discussion on the refinements to the D4LS process and iterative course development. Sub-degree programmes may have an initial programme approval but the delivery implementation may be staged over several months or year(s).

Meeting closed 4.50pm

Next meeting: 17 October 2016, F209 Puna Kawa, 3pm.

Action summary

who	what	when
Phil Ker	Check MOU between OP Central Campus and Cross Learning NZ, evidence of an MOU is required by NZQA for accreditation to deliver.	asap
All members	Consultation on current NZQA Offshore Delivery Rules *http://www.nzqa.govt.nz/about-us/our-role/legislation/nzqa-rules/nzqf-related-rules/offshore-programme-delivery-rules-2012/*	provide feedback to Sue T by 10 October 2016 to collate and submit to NZQA by 14 October 2016

Academic Board

Minutes of the urgent *electronic* Academic Board meeting held on 26 September 2016 *(final approval gained 28 September 2016)*

Responses from

1.	Sue Thompson (move)	Approve 26/09/2016	4.09pm
2.	Mereana Rapata-Hanning	Approve 26/09/2016	4.30pm
3.	Lesley Smith	Approve 26/09/2016	8.21pm
4.	Chris Morland	Approve 27/09/2016	8.42pm
5.	Linda Kinniburgh	Approve 27/09/2016	1.05pm
6.	Megan Gibbons	Approve 27/09/2016	7.49pm
7.	Sally Baddock	Approve 28/09/2016	2.44pm
8.	Sam Mann	Approve 28/09/2016	2.48pm
9.	Alistair Regan	Approve 28/09/2016	2.50pm
10.	Ron Bull	Approve 28/09/2016	3.16pm
11.	Phil Ker	Approve 29/09/2016	6.05am

Quorum (10) achieved 28/09/2016

A100/16 (QAC16/16) NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying)

Recommendation: That Academic Board approves the application document for the programme of study for NZ2420 New Zealand Diploma in Construction (Level 6) (Construction Management) (Quantity Surveying).

Agreed: Sue Thompson / Mereana Rapata-Hanning

Next scheduled meeting: 17 October 2016

11. ADDITIONAL AGENDA ITEMS

Council
Closed Agenda

OTAGO
POLYTECHNIC
Te Kura Matatini ki Otago

Meeting to be held: 12.30pm 7 October 2016

Hokonui Marae, 140 Charlton Road, Gore

RESOLUTION TO EXCLUDE THE PUBLIC
Section 48, Local government Official Information and Meetings Act 1987
Move that the public be excluded from the following parts of the proceedings of this meeting, namely.-

Contents

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under Section 48 for the passing of this resolution 48 (a)
Minutes of the closed section of the Council meeting held on 5 August 2016 (Reason (i))	(i) OI Act Section 9(2) Enable a Minister of the Crown or any Department or Organisation holding the information to carry on without prejudice or disadvantage negotiations (including commercial and industrial negotiations 9(2)(j)	
Matters arising (Reason (i))		
Reporting Timeframes (Reason (i))		
Chair's Report (Reason (i))	(ii) OI Act Section 9 (2) (ba) Protect information which is subject to our obligation of confidence	
Chief Executive's Report (Reason (i))		
Finance and Audit Committee Report (Reason (i))		
Finance Reports (Reason (i))		
Health and Safety Report (Reason (i)		
Leadership Team Report (Reason (i)		
Governance Risk Management Framework (Reason (i))		
Matters for Noting (Reason (i))		
Use of the Common Seal (Reason (i)		
Additional Agenda Items (Reason (i))		