

Council Open Agenda



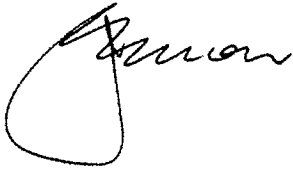
Meeting to be held: 12.30pm Friday 3 November 2017
Puna Kawa, Level 2, Mason Centre, Otago Polytechnic,
Forth Street, Dunedin

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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.

A handwritten signature in black ink, appearing to read 'Jeanette Corson', with a large, stylized loop at the beginning.

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	<ol style="list-style-type: none"> 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 	<ol style="list-style-type: none"> 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 	
Neil BARNES	09-07-17	<ol style="list-style-type: none"> 1. Board Chair – Otago Polytechnic Auckland International Campus 2. Director/Shareholder Neil Barnes Consulting Limited 3. Partner – Barnes-Davis Orchard Partnerships 	<ol style="list-style-type: none"> 1. OP is a 50% owner of the limited partnership and is impacted directly by its operations in Auckland 2. The Company provides consultancy services mainly to TEOs and government education agencies that OP also has dealings with. 3. Joint owner of an avocado orchard. Unlikely to involve OP directly although OP offers horticulture qualifications and training. 	
Gillian BREMNER	21-06-10	<ol style="list-style-type: none"> 1. Chief Executive Presbyterian Support Otago 2. Director Well Dunedin PHO 	<ol style="list-style-type: none"> 1. Student placements for Nursing, Occupational Therapy and CAPS within PSO Residential facilities 2. Nil 	
Peter COOLBEAR	16-11-16	<ol style="list-style-type: none"> 1. Chair NZCER Board 2. Co-owner and director: Coolbear Ltd - Information Management and Tertiary Education Consulting 	<ol style="list-style-type: none"> 1. NZCER manages the TLRI fund that has a tertiary education component 	
Darren EVANS	06-08-16	<p>Chief Operating Officer, Calder Stewart Group</p> <p>Spouse: Part time employee of Otago Polytechnic, Project Manager, Business Development</p>	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	<ol style="list-style-type: none"> 1. Dunedin City Holdings Ltd (Director) 2. Trustee of numerous private trusts 3. Galloway Cook Allan (Associate) 4. Dunedin Sinfonia Board 5. Dunedin City Treasury Limited (Director) 6. SDHB (Commissioner) <p>Spouse:</p> <ol style="list-style-type: none"> 1. Galloway 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 Galloway Cook Allan (Director) 11. Trustee of numerous private trusts 	

Council Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Michael HORNE	06-11-15	<ol style="list-style-type: none"> 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
Megan POTIKI		<ol style="list-style-type: none"> 1. Member of Te Runanga o Ōtākou 2. Employee of the University of Otago 3. Director of Arataki Associates Ltd – contracting entity involved in a wide range of Māori education, health and business. 	3. Potential supplier

3. MINUTES

The minutes of the open section of the meeting held on 4 August 2017 are attached.

RECOMMENDATION

That the minutes be approved as a true and correct record of the open section of the meeting held 4 August 2017.

Jeanette Corson
Secretary to Council

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



held at 10.10am on Friday 4 August 2017 at Otākou Marae, 45 Tamatea Road, Otākou.

PRESENT: Mrs K Grant (Chair)
Dr N Barnes
Mrs G Bremner
Dr P Coolbear
Mr D Evans
Ms M Potiki

IN ATTENDANCE: Mr J Aldridge (Convenor, Staff Subcommittee)
Mr L Baines (Convenor, Student Council)
Ms J Brady (Deputy Chief Executive, People, Performance and Development)
Mrs J Corson (Secretary to Council)
Mr P Cullen (Deputy Chief Executive/Chief Operating Officer)
Mrs D Davies (Executive Assistant)
Ms H Ferral-Heath (Puketeraki)
Mr P Ker (Chief Executive)
Mr R Kerr-Bell (Academic Leader)
Mrs E Murphy (Otakou)
Emeritus Professor Khyla Russell (Otakou)
Mrs T Thomson (Executive Assistant)
Mrs S Thompson (Director, Quality)
Mrs R Williams (Tumuaki: Te Punaka Owheo)

APOLOGIES: Mr P Allison
Mr M Horne

1. APOLOGIES

Apologies were noted from Mr Horne and Mr Allison, Deputy Chief Executives Chris Morland (Learner Experience), Oonagh McGirr (Learning and Teaching Services), Janine Kapa-Blair (Maori Development/Kaitohutohu) and Ron Bull, Tumuaki, Whakaako.

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 – 7 JULY 2017

The minutes of the open section of the meeting held on 7 July 2017 were attached.

It was noted that Dr Coolbear had been in attendance via Skype and that Mr Higgins did not attend the meeting.

RECOMMENDATION

That with those amendments, the minutes be approved as a true and correct record of the open section of the meeting held on 7 July 2017.

AGREED.

4. MATTERS ARISING

None.

5. MAORI ANNUAL REPORT

The Maori Annual Report was tabled.

Mrs Grant congratulated those responsible for putting the document together and commented that each annual report sets a higher standard.

Mr Kerr-Bell commented that the recruit and retain initiative had had a positive impact on the number of Maori students enrolled. Students were contacted personally when they enrolled and constant contact maintained, which was useful in obtaining feedback should issues arise. The use of Poho had increased, and a quarterly hangi also held for students.

Mr Ker believed that Te Punaka Owheo was realising the vision for the Centre. There had been a significant shift in service for Maori learners, with more relationship building and connection with all.

He noted that a key principle of the Maori Strategic Framework was for OP to be an inclusive environment and to enable Maori staff to work and learn as Maori. This was affirmed by positive feedback from Maori staff.

Mr Ker foreshadowed two initiatives, one around doubling Maori academic staff by 2020, and the second to double the Polytechnic's Maori graduates by 2025.

Other matters raised:

- The value of on job training for young Maori and how the Polytechnic might be involved
Mr Ker noted that the Polytechnic has a strong focus on the secondary tertiary interface with Andy Kilsby working on a strategy for Maori learners.
- whether there are opportunities for the Polytechnic to run courses in Te Reo
- The perception of polytechnic vs university study and how this might be addressed.

Mr Kerr Bell left the meeting at 12.30pm.

6. CHAIR'S REPORT

Mrs Grant had nothing to report.

7. CHIEF EXECUTIVE'S REPORT

Productivity Commission

Mr Ker reported that the Government had released its response to the Productivity Commission Report. He said it was pleasing that OP's recommendations had been agreed upon, to free up the tertiary system to enable it to be more flexible and responsive, and in particular, to embrace micro-credentials. The Polytechnic had launched its new micro-credentialing service, EduBits, the previous week. Mr Ker reported that the Polytechnic is part of an NZQA pilot, approved by the Minister, into micro-credentialing.

Finance Summary

A table provided an overview of the Polytechnic's 2017 financial performance to date, compared against the forecast with variances.

Key points:

- Net operating surplus of \$432k favourable to forecast by \$509k
- Capex higher than forecast to date by around \$532k with major project works spending ahead of forecast expenditure related to timing
- Current monetary assets \$648k higher than forecast
- EFTS enrolments ahead of the YTD forecast with strong international enrolments.

Te Pa Tāuira

First two demonstration dormitory rooms had been completed and expressions of interest were being taken from 8 August. A naming ceremony is to be arranged prior to opening.

Critical Incident Policy

The Critical Incident Policy was referred to the Audit and Risk Management Committee for review at its next meeting.

Media Report

A Media Report had been provided by Emma Wood, Communications Coordinator.

External Liaison

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

RECOMMENDATION

That the Council receives this report.

AGREED.

8. POLICIES FOR APPROVAL

Two policies had been reviewed by the Finance and Audit Committee:

CP005 Delegations from Council to the Chief Executive

Changes had been made to the following clauses:

7. Bad Debts

- authority to write off bad debts increased from \$20,000 to \$25,000 and that debts in excess of \$25,000 may be written off with the prior approval of the Council

8. Donations

- Clarification:
 - o that donations in excess of \$5,000 may be made with the prior approval of the Chair of Council
 - o around the definition of monetary donations.

RECOMMENDATION

K Grant/G Bremner

That the Council approves changes to policy CP005.05 Delegations from Council to the Chief Executive.

AGREED.

CP0006.05 Council Honours Awards

There was one change to the policy; to update the terminology from Leadership Team to Executive Leadership Team.

RECOMMENDATION

K Grant/P Coolbear

That the Council approves the minor change to CP0006.05 Council Honours Awards.

AGREED.

9. MATTERS FOR NOTING

The following items were noted:

- Council Calendar
- Executive Leadership Team Conflict of Interest Register
- Minutes
 - o Academic Board
 - 9 May 2017
 - 13 June 2017
 - o Komiti Kawanataka
 - 15 Pipiri (June)
- The Student Council did not meet in July.

10. GENERAL BUSINESS

None.

The meeting closed at 12.15pm.

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
07/07/17	A further paper re input from Academic Board	Phil Ker	3 November 2017
04/08/17	Naming Ceremony for Te Pa Tāuira	Janine Kapa-Blair	2 February 2018

6. CHIEF EXECUTIVE'S REPORT

Te Pa Taurira

The student village is on track for completion by the original early February deadline. All dorm rooms are full with waitlists and there are encouraging applications for apartments and studios.

Enrolment Update

Domestic applications are strong across the board with most programmes being up by 15% on 2017 and have been tracking this way for the last two months. Internationals are tracking at 18% higher.

Summarised Finance Report for the period ended 30 September 2017

The following table provides an overview of Otago Polytechnic's 2017 financial performance to date and compares this against the forecast with variances.

September 2017	2017 Year to Date Actual	2017 Year to Date Forecast	Variance
	(\$000s)	(\$000s)	(\$000s)
Revenue	\$ 70,917	\$ 69,524	\$ 1,393
Expenditure	\$ 70,186	\$ 69,265	\$ (921)
Net Surplus	\$ 731	\$ 259	\$ 472
Capital Expenditure	\$ 17,675	\$ 18,866	\$ 1,191
Employment Cost as a percentage of revenue	52.7%	53.7%	1.0%
Student Fees as a % of revenue	43.9%	43.6%	(0.3)%
Government Funding as a % of revenue	44.9%	45.8%	0.8%
Working Capital	32.1%	40.3%	(8.2)%
Cash In/Cash Out	131.2%	127.7%	3.5%
Current Monetary Assets (000's)	\$ 264	\$ 42	\$ 222
Debt / Equity Ratio	0.7%	4.9%	4.2%
EFTS	5,065.6	5,035.5	30.1

Key Points:

- The net operating surplus of \$731k is favourable to forecast by \$472k, with positive revenue variances especially in International Fees partially offset by additional expenditure, largely international delivery costs.
- Capex is lower than forecast to date by a net \$1,191k with the major project works (Buildings, Student Village & Campus Redevelopment) and Equipment behind forecast expenditure timing although offset by Computers and Course Development projects currently spending ahead of forecast.
- Current monetary assets are \$222k higher than forecast with continued strong cash inflows combined with lower capex outflows as above. In addition, the loan drawdown is circa \$4.5m lower than planned.
- EFTS enrolments at 5,066 now exceed the YTD forecast with continued strong international enrolments.

Media Report

Attached is a report from Emma Wood, Communications Coordinator.

External Liaison August - October

- Tertiary Teaching Excellence Awards, Wellington
- ITP Advisory Group, Wellington
- OPAIC Board meetings x 3
- TANZ CEO meetings, Wellington, Auckland
- TANZ eCampus meetings, Wellington, Auckland
- World Federation of Colleges and Polytechnics Board meetings x 2 (via teleconference)
- Mihi Whakatau Japanese Kosen National Institute of Technology visit
- NZQA Panel visit
- OP Business Breakfast, Cromwell
- TANZ Academic Managers' Meeting via Skype
- David Clark, MP
- AIC partnership opportunities, Adelaide
- Janet Lane, MITO
- BOINZ, Wellington
- Presentation to Education NZ Board
- Staff Study Tour, South America
- Business after 5 event, OP
- Malcam Board meeting
- OP Pasifika Scholarships and Recognition Awards

RECOMMENDATION

That the Council receives this report.



Phil Ker
Chief Executive

MEDIA REPORT TO OTAGO POLYTECHNIC COUNCIL

EMMA WOOD – Communications Coordinator

Prepared on 26/10/17

NEWS MEDIA COVERAGE

- There were 358 articles across print, broadcast and digital news media over the past three months – an average of 119 stories per month. This tally is pleasing given we were without a full-time media liaison for this period.

Some highlights:

- The Wildlife Hospital announcement gained the most coverage with 15 individual stories.
- The involvement of Margo Barton and several Fashion students in this year's New Zealand Fashion Week featured in 10 stories.
- There was considerable interest in the story of the pop-up sensory room established by OT students which will now become permanent space on campus (nine stories).
- The Tertiary Teaching Excellence Awards won by Mereana Rapata-Hanning and Liz Ditzel were well-covered, featuring in seven stories.
- Design student successes in the national Best Awards and the Audacious Business Challenge garnered a total of seven stories.
- There were six stories focusing on the inception of EduBits microcredentials.

DATA – News media monitoring, 2017

	JAN	FEB 22	MAR 31	APR 30	MAY 26	JUN 29	JUL 26	OCT 26
MELTWATER	77	54	115	49	58	70	81	182
SLICE/OTHER	58	56	87	60	49	85	79	176
TOTAL	135	110	202	109	107	155	160	358

OP WEBSITE (NEWS AND EVENTS SECTION)

- There were 11,398 page reads in the past three months.
- The most-read story for the period was about our Health Expo, with 426 views.
- Other popular stories included MVA student Alicia Hall's Art and Community Connections Scholarship win (261 views); Anything Could Happen exhibition (239 views); Design student Harvey Penfold's Audacious Business Challenge win (179); and our new EduBits microcredentials (177 views).
- As has consistently been the case, the overwhelming majority of readers spend between 1'00" and 3'00" on our story pages, indicating the content continues to be interesting and engaging.

SOCIAL MEDIA

- **Facebook** – 9,198 followers, up 444 from the last report.
Over the past 28 days alone, our posts have reached a massive 287.4K people, almost half of those drawn to view our outstanding video content. Over the past three months, the most popular posts have been Ceramic Arts student Rye Senjen's creation of cups for Eden Café (20.8K); Social Services students' community projects (16.5K); behind-the-scenes of Design students' latest collaboration with the Fortune Theatre (16K); and a profile on OISA graduate Ewan Brumwell (11.8K).
- **LinkedIn** – 10,414 followers – increasing by 333 since the last report. The post about the available position as Head of the College of Art, Design and Architecture received the most impressions over the time period at 8.9K.
- **Instagram** – 1,731 followers (an increase of 135). Our regular posts continue to attract pleasing levels of engagement.

WELCOME TO SHANE GILCHRIST

Shane Gilchrist is our new Communications Coordinator and he takes on the media liaison responsibilities formerly coordinated by Megan Martin. He began his role on Monday 16 October and has hit the ground running – he has already researched, written and distributed several media releases.

Shane is an award-winning journalist who was most recently employed as a senior features writer at the Otago Daily Times. You can read more about him in [this great profile](#).

7. POLICIES

7.1 MP0487.00 Critical Incident and Emergency Planning

This policy has a new number in the policies database as it is vastly different and full rewrite of the previous MP0406 Evacuation and Earthquake policy.

The procedural appendices have all been removed and will be Standard Operating Procedures (SOPs) accessible in OP documents centralised files and printed copies as necessary in key areas around OP.

The following policies have been reviewed by the Finance and Audit Committee and are recommended for approval:

7.2 CP0012.04 Conflict of Interest

7.3 CP0013.02 Procurement and Purchasing

7.4 CP0014.01 Internal Audit

7.5 CP0010.03 Fraud Prevention

7.6 Fraud Control Plan

7.7 CP0003.03 Management Reporting of Contracts to Council

OTAGO POLYTECHNIC MANAGEMENT POLICY		Number: MP0487.00
Title:	Critical Incident and Emergency Management	
Baldrige Criteria:	6 Operations	
Chief Executive Approval:	Date of Approval:	Effective Date:
Previous Policy No:	MP0406	Review Date:
Contact Authority:	Deputy Chief Executive: People, Performance & Development	Status: Full rewrite

Purpose

Otago Polytechnic has a duty of care to staff, students and others in the workplace to ensure their safety at all times. The purpose of this policy is to mitigate risk to Otago Polytechnic staff, students, contractors and visitors regarding critical incidents. Raising awareness of these events and communicating information on safe practices through our induction processes to ensure that Otago Polytechnic's responses to critical incidents and emergencies are well managed and effective.

Government Legislation and Statutory Compliance

Health and Safety at Work Act 2015 and all associated Regulations and Amendments including Hazardous Substance (Dec 2017)
 Fire and Emergency New Zealand Act 2017
 Fire Safety and Evacuation of Buildings Regulations, 2006
 New Zealand Building Code – Compliance document for NZ Building codes, and fire safety
 Civil Defence Emergency Management Act 2002
 Biosecurity Act 1993
 Defence Act 1990
 Epidemic Preparedness Act 2006
 Health Act 1956 and all associated Regulations and Amendments including Health (Infections and Notifiable Diseases) Regulations 2016
 Local Government Act 2002
 Maritime Transport Act 1994
 Policing Act 2008
 Resource Management Act 1991
 Terrorism Suppression Act 2002
 The Education (Pastoral Care of International Students) Code of Practice 2016, Ministry of Education New Zealand

Civil Defence: In the event of a declared emergency (such as tsunami, earthquake, other) Civil Defence guidance will come from Local Authorities.

Legislation and Lead Agencies: In incidents involving multi agencies one agency takes the lead role. Authority for control on an incident is pre-determined by the following:

- Statute
- Agency protocols
- Agreements between agencies
- Standard Operating Procedures

Definitions

A Critical Incident or Emergency is declared by the Chief Executive when it is deemed that an Emergency cannot be managed by day-to-day operational management. The Critical Incident / Emergency Management Plan is activated at this point and continues throughout the period of the emergency.

Critical Incident is an unplanned or unforeseen traumatic event which has an impact on the institution, its staff, its students and the wider community. Examples of critical incidents and emergencies are, but not limited to fire, chemical spill, gas leak, flood, pandemic, act of terrorism, threat to safety of staff, students and the wider community.



Emergency is an event, or series of events, that can cause death or significant injuries to staff, students, or the public; or that can suspend business, disrupt operations, create significant physical or environmental damage, or that can threaten the Polytechnic's financial standing or public image.

Epidemic/Pandemic: Country wide or world wide spread of disease; widespread occurrence of infectious disease which may be spread quickly to many people.

Student-Centred event: is an event involving one or more students, which may involve sudden illness (potential for pandemic response), sudden illness causing death, self-harm incident, accident causing serious injury or accident causing death. This can be course related or outside of teaching time.

Incident Emergency Control Centre is an area or zone on campus that becomes the base for the Incident Emergency Management Team (IEMT).

Incident Emergency Management Team (IEMT) is a group led by an Incident Controller who have been assembled from throughout Otago Polytechnic and who have the training, skills and knowledge required to react effectively during an incident or emergency. IMET is responsible for the operational management of the incident or emergency in line with the Incident Emergency Management Plan with the immediate focus on saving life and property.

Strategic Emergency Management Group is the Executive Leadership Team which will be responsible for events that have long term, high fiscal impact on the organisation. Such an event would have impact on business continuity and strategic way forward for the organisation. This group is convened on advice from the Incident Controller.

Policy

1. It is the responsibility of staff and students to be thoroughly conversant with evacuation arrangements concerning buildings and areas in which they work.
2. Staff must briefly outline the critical incident and emergency procedures to students and visitors at the beginning of any programme, course or meeting.
3. **Training**
 - 3.1. All Otago Polytechnic staff will be conversant with this policy. Familiarisation will form part of new staff induction.
 - 3.2. Selected Otago Polytechnic staff will be trained to the NZ standard Level 2 Coordinated Incident Management System (CIMS).
 - 3.3. Selected Otago Polytechnic staff are trained as fire wardens. A list of Otago Polytechnic fire wardens is available on the internal intranet site, Insite or by contacting the Safety and Wellbeing Representative in your work area.
4. **Levels of Incident/Emergency and Notification Criteria**
 - 4.1. Critical Incidents, Emergencies or Student Centred events are categorised at several levels. (Refer to table in 4.2). Subsequent response activities will vary depending on the nature of the event. The Chief Executive, or delegate, has the ultimate responsibility and authority for declaring a Critical Incident or Emergency and making key executive decisions such as those pertaining to closure of part or all of the campus, evacuation of non-essential personnel, suspension of business activity, and business continuity.

4.2.

Level No:	Event	Response Required	Escalation	Comment
1	<input type="checkbox"/> Where individuals are involved, dependent on incident <input type="checkbox"/> Damage that results in minimal business loss	Head of School or Director advised	To Head of School or Service Area	Minor injury, illness or incident, e.g. OP vehicle

	<input type="checkbox"/> Minimal cost is incurred <input type="checkbox"/> Where the reputation of OP may be at risk <input type="checkbox"/> Negligible environmental impact <input type="checkbox"/> No serious breach of legislation <input type="checkbox"/> Financial loss <\$5000		To Chief Executive To Council – where OP reputation is at risk.	involved in non-injury event.
2	<input type="checkbox"/> Where more than one person is involved <input type="checkbox"/> Where an incident could have caused multiple injuries <input type="checkbox"/> Plant or property damaged <input type="checkbox"/> Minor costs incurred <input type="checkbox"/> Where the reputation of OP is at risk <input type="checkbox"/> Long term or significant environmental impact <input type="checkbox"/> Breach of legislation <input type="checkbox"/> Financial loss \$5000 - \$0.5 million	Incident Controller and sub group, as determined by Incident Controller, activated	To Chief Executive To Council	This may include such events, but not limited to, where a group of students are affected: e.g: lost in the bush
3	<input type="checkbox"/> Death <input type="checkbox"/> Multiple people injured <input type="checkbox"/> Worksafe notifiable event <input type="checkbox"/> Significant structural or environmental damage <input type="checkbox"/> Significant financial loss <input type="checkbox"/> Possible permanent closure of the business site <input type="checkbox"/> Significant business interruption <input type="checkbox"/> Significant costs incurred <input type="checkbox"/> Where the reputation of OP is at risk <input type="checkbox"/> Highly significant long term environmental impact <input type="checkbox"/> Legislative breach causing cease of operation <input type="checkbox"/> Financial loss - >\$0.5 million	Incident Emergency Management Group activated	To Council immediately	

5. Activation of the Critical Incident and Emergency Management Plan

5.1. A Critical Incident, Emergency or Student Centred event is declared whenever an emergency occurs which requires specific response and is outside normal operations. Among the key factors for the Chief Executive, or delegate, to consider in making the declaration are:

- Whether life and/or property are at risk
- Whether a large area is affected (entire campus/city/region)
- Whether other emergency services are involved
- Whether the emergency is longer term (longer than one day)
- Whether it is a serious health incident which could cause major disruption to Polytechnic teaching and services
- Where emergency declaration is made by local government authorities.

5.2. The principle of 'prudent over-reaction and rapid de-escalation' applies when making the decision to declare a Critical Incident or Emergency. It is easier and usually more effective to scale down an over-reaction than it is to escalate an under-reaction.

5.3. When a Critical Incident or Emergency is declared, this Plan and the Emergency Communications Plan (refer to appendices) are activated. The Chief Executive will determine the appropriate level of response as per 4.2.

6. Response

6.1. In the event of a Critical Incident and Emergency, teams will be brought together to manage the event determined by the level of the incident or

emergency as per 4.2, Levels of Incident Emergency and Notification criteria.

- 6.2. The Chief Executive may delegate to the Command and Control Officer (when available, Deputy Chief Executive: People Performance and Development), full responsibility to manage the initial response to a Critical Incident and Emergency including decisions around operational priorities and resource allocation. The Command and Control Office, is then responsible throughout the event.
- 6.3. The Command and Control Officer, through the Public Information Manager (PIM) will notify the Incident Communications Team who will take appropriate steps to ensure information is quickly broadcast to staff and students.
- 6.4. The Incident Emergency Management Team (IEMT), shall be activated at Level 3 and a smaller team at Level 2 and they will be responsible for the operational response phase of any event. The IEMT shall comprise:

Critical Incident or Emergency Role
Command and Control Officer
Intelligence and Planning Manager
Logistics and Operations Manager
Health and Safety Manager
Public Information Manager
Welfare Manager
Technical Manager
Administration Support

NB: The Incident Emergency Management Team has delegated authority for emergency expenditure in the interests of staff and student safety and wellbeing. (e.g. Generators, Port-a-loos, tools and equipment).

- 6.5. The role descriptions for staff that make up the Incident Emergency Management Team are documented separately. When the Critical Incident and Emergency Management Plan is activated, these staff are released from their normal roles to take up their Critical Incident or Emergency management roles.
- 6.6. Checklists will be provided for the IEMT to review and act on in relation to each event and will be created specifically for the following timeframes
 - Immediate response – hours 1 to 6
 - Secondary response – hours 6 to 24
 - Recovery response – hours 24 to 48
 - Long term recovery – hours 48 onwards
- 6.7. Members of the Executive Leadership Team (ELT), or any other Otago Polytechnic staff member, may be called on as appropriate.
 - 6.7.1. During the management of any event, additional support will be made available using the resources available through Learner Services, Chaplaincy Services and Staff Assistance Providers (SAP).
- 6.8. The preferred point for the **Incident/Emergency Control Centre**
 - 6.8.1. Dunedin Campus – F209 Puna Kawa or in the event this room is not accessible, Campus Service in S Block
 - 6.8.2. Central Campus – Main Office with video conferencing to connect with Dunedin Campus
 - 6.8.3. AIC – Main boardroom with video conferencing to connect with Dunedin Campus

6.8.4. Other Campus's and distance staff / students, via skype, cell phone or other means.

It will be the pivotal point to manage an effective response to a Critical Incident or Emergency. NB: Incident/Emergency Control Centre may change dependent on event or structure availability.

6.9. Post incident review and improvement.

6.9.1. After every incident, the appropriate procedure will be reviewed and updated as required by the persons involved in the management of that incident.

6.9.2. Testing of this policy shall be conducted as a practical and desktop exercise on alternate years.

6.10. Reporting. Council will be notified of all activated incidents through Safety and Wellbeing reporting mechanisms.

**Related
Policy,
Forms and
Documents**

Security plan (still to be developed)

AP0508 Student Rights and Responsibilities

MP0402 Health and Safety Induction and Training

AP0602 Student Discipline

MP0303 Authorities and Delegations from Chief Executive

MP0304 Specific Financial Authorities and Delegations

Procedures relevant to each incident/emergency are documented as Standard Operating Procedures (SOP's). These include:

CIM/SOP/001: Contact List

CIM/SOP/002: Emergency Communications Plan

CIM/SOP/003: Response Plans for Students

CIM/SOP/004: Specific Incident or Emergency description and action:

- Emergency Procedures
- Essential utility failure
- Medical emergency
- Fire and evacuation
- Flooding
- Storm and/or gale force winds
- Physical threat / hold up
- Earthquake
- Hazardous substances spill / gas leak
- Suspicious activity
- Unauthorised person
- Unauthorised news media
- Bomb threat
- Suspicious package
- Field activity emergency
- Emergency lockdown
- Response plans for student-centred events
- Emergency kit location and contents

CIM/SOP/005: Emergency Response Checklist

CIM/SOP/006: Emergency Equipment Checklist

More information can be found at the Ministry of Civil Defence and Emergency Management website: www.mcdem.govt.nz or the New Zealand Society for Earthquake Engineering: www.nzsee.org.nz

Approved by Chief Executive

Date:



OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0012.054
Title:	Conflict of Interest	
ITPNZ Standard/Baldrige Criteria:	4 Staff Selection, Appraisal and Development 5 Workforce	
Council Approval:	Approval Date: <u>5 August 2016</u> <u>3 November 2017</u>	Effective Date: <u>5 August 2016</u> <u>3 November 2017</u>
Previous Policy Number:	MP0441	Review Date: -June 2018
Contact Authority:	Secretary to Council	Status: Current

Purpose To clearly outline what Otago Polytechnic considers to be a 'conflict of interest' and to provide guidance on how potential conflict of interest situations should be managed including the giving and receiving of gifts in the course of Polytechnic business.

Statutory Compliance Employment Relations Act 2000
State Sector Act
Local Authorities (Members' Interests) Act 1968

Scope This policy applies to all Otago Polytechnic Council and staff members ("Member"). In this policy "staff member" and "manager" includes the Chief Executive and anyone engaged under a Contract for Services.

Policy

- Otago Polytechnic is committed to demonstrating and providing an equitable and transparent working and learning environment for its staff students and stakeholders.
- The objectives of this policy are:
 - To ensure appropriate declaration if potential conflict of interest occurs.
 - To provide procedures for dealing with potential conflicts of interest.
 - To ensure the giving and receiving of gifts is appropriate and transparent.

Definitions

- Conflict of interest** means a situation in which the activities or relationships of a Member other than their relationship with Otago Polytechnic:
 - Leads, might lead, or might appear to lead, to a direct or indirect benefit for the Member to the detriment or potential detriment of Otago Polytechnic; or
 - interferes, might interfere, or might appear to interfere with the Member's obligations to Otago Polytechnic.

except when that activity or relationship results from the proper exercise of the Member's academic freedom.

 - Personal Relationship is a close relationship with any person including but not limited to a partner or ex-partner, spouse or ex-spouse, relative, close friend, or business associate past or present.
- 1.1 Situations of Conflict of Interest include but are not limited to:
 - Personal relationships** as defined above may impinge on a Member's obligations to Otago Polytechnic in relation to employment matters such as recruitment and staff management, or in relations to academic matters



such as student assessment.

- **Relationships** with other organisations where the interests of the other organisation has the potential to conflict with the interests of Otago Polytechnic. Having financial or other interests outside Otago Polytechnic which could directly or indirectly have an adverse effect on the discharge of the Member's obligations to Otago Polytechnic or which could otherwise damage the interests of Otago Polytechnic.
- **Accepting or giving gifts**, entertainment, or any other personal favours (goods, services, vouchers, tickets, and cash) which go beyond minor and common business courtesies. (Refer to policy CP0008 Sensitive Expenditure for Otago Polytechnic requirements to accepting and giving gifts).

Procedures

1. Members must follow the requirements of CP0008 Sensitive Expenditure for any giving or receipt of gifts.
2. Members must disclose any conflict of interest as soon as they become aware that a situation may give rise to such a conflict or may appear to do so. That disclosure should be made to their manager, to the Chief Executive, or to the Council whichever is most appropriate in the circumstances.
 - a. Any Member who is unsure if a conflict (real, potential or perceived) exists, must declare the possible conflict to an appropriate person in authority and until that person notifies them otherwise the Member must assume that an actual conflict exists and act accordingly.
- 2.—
3. It is not appropriate for any Member to be present during any discussion, or take part in any decision, relating to a matter in which the Member has a conflict of interest as it is defined in this Policy.
4. It is not appropriate for a subordinate to report either directly or indirectly to a manager with whom they have a personal relationship unless the manager has reported the conflict of interest to the Chief Executive or the Director: Organisational Development, Deputy Chief Executive, People Performance and Development and the reporting relationship has been authorised in writing.
 - a. For the avoidance of doubt, this requirement applies to all personal relationships whether they arise before, during, or after the reporting relationship is established, and whether the relationship is current or past.
 - b. The manager must immediately report the existence of any performance issue, disciplinary matter, or dispute to the Deputy Chief Executive, People Performance and Development Director: organisational Development or to the Chief Executive, and take no part in any related investigation or decision making process unless expressly required to do so in writing by the Chief Executive or the Deputy Chief Executive, People Performance and Development Director: Organisational Development.
5. When a subordinate manager reports to a more senior manager and that senior manager has a personal relationship with a staff member who reports to the subordinate manager:
 - a. Any communication about the staff member between the senior and subordinate managers must not relate to performance or disciplinary



issues, or to other matters which could directly advantage or directly disadvantage the staff member in their employment. The senior manager must not be involved in any other way with any such matters involving the staff member unless expressly required to do so in writing by the Chief Executive or the Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~; and

- b. When the relevant senior manager is the Chief Executive and a performance issue, disciplinary matter or dispute arises in relation to a staff member with whom the Chief Executive has a personal relationship:
 - i. The Chief Executive will immediately delegate his or her powers as employer in the matter to the Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~, who will exercise all the authority of the Chief Executive and act independently of the Chief Executive who will have no further involvement in the matter other than the right to be advised of the outcome.
 - ii. If the ~~Director: Organisational Development~~ Chief Executive or the Deputy Chief Executive, People Performance and Development believes that the input of another senior staff member or of the Chair of Council would assist in resolving the matter, he or she will have absolute discretion to seek that assistance, ~~without reference to the Chief Executive.~~
 - iii. If the Chief Executive or any affected staff member has a complaint about the decision made or the process followed by the Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~, they ~~must~~ may appeal the decision by notice to the Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~. The Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~ will then reconsider the original decision taking into account the reasons given for the appeal.
 - iv. The Deputy Chief Executive, People Performance and Development~~Director: Organisational Development~~ may make whatever amendments to the original decision he or she considers appropriate, and if that does not resolve the complaint the Chief Executive or the affected staff member may refer the complaint to the Chair of Council who will determine the manner in which it should be resolved.
6. The disclosure and authorisation requirements of paragraph 3 above apply also to personal relationships between Members and students. In such situations it is the Member's responsibility to disclose the existence of the relationship.
- i. Otago Polytechnic strongly discourages Members from allowing personal relationships with students to develop.
 - ii. When a personal relationship does develop, or when it already exists, the Member's manager will ensure that any



perceived or real conflict of interest or imbalance of power is adequately addressed and that impartial assessment and integrity of academic processes is maintained.

- iii. This may include involving an independent person in marking and assessment

7. A Conflict of interest register is to be maintained for the Executive Leadership Team, Directors, and Heads of School/College, and kept by the Chief Executive's office.
8. Where an Executive Leadership Team member, Director, or Head of School/College member discloses a conflict of interest, the Chief Executive will determine, depending on the nature and extent of the conflict, the appropriate way of dealing with it. If the Executive Leadership Team member, Director, or Head of School/College with a conflict is not happy with the Chief Executive's decision, the he or she will may refer the matter to the Chair who will decide how to proceed.
9. A separate conflict of interest register is to be maintained for Council members and included in the papers as a standing item.
 - a. Where a Council member discloses a conflict of interest, the Chair will determine, depending on the nature and extent of the conflict, the appropriate way of dealing with it. If the Chair is conflicted or is unavailable that determination will be made by the Deputy Chair.
10. Staff members must disclose any conflict of interest to their manager as soon as it arises and the manager is then responsible for formulating an appropriate plan to manage the situation.
 - i. The manager will consult the employee before deciding how the conflict of interest should be managed but the final decision is at the manager's discretion.
 - ii. The staff member may challenge the manager's decision by referring it to the Deputy Chief Executive, People Performance and Development Director: Organisational Development who will either uphold the manager's decision or substitute his or her own decision after considering the relevant circumstances at the time.
 - iii. Any agreements or decisions on the management of conflicts of interest must be recorded in writing and placed on the staff member's personnel file.
11. When an applicant for a position at Otago Polytechnic has a personal relationship with a Member, that Member must take no part in, or seek any information relating to, the recruitment or appointment process for the position whether before the appointment is made or later.
12. Any Member who is unsure if a conflict (real, potential or perceived) exists, must declare the possible conflict to an appropriate person in authority and until that person notifies them otherwise the Member must assume that an actual conflict exists and act accordingly.

Relationship to Disciplinary Procedure

- ~~13.~~ 12. In the absence of a reasonable explanation, failure by a staff member to



declare a potential conflict of interest to their manager could be deemed misconduct and may be investigated as per policy MP0444 Resolving Performance Problems.

Disputes

~~14.13.~~ In the event of a dispute relating to this policy arising between staff members and their manager, either may refer to matter to the Chief Executive for review or if the Chief Executive has a conflict of interest or is unavailable, to the Deputy Chief Executive, People Performance and Development Director or Organisational Development.

Referral Documents

CP0008 Sensitive Expenditure
CP0013 Purchasing by Quotation, Tender or Request for Proposal Procurement and Purchasing Policy
MP0444 Resolving Performance Problems
Council Code of Conduct

Approved by Council

Date: ~~5 August 2016~~ 13 November 2017



OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0013.023
Title:	Procurement and Purchasing Policy	
Baldrige Criteria:	6 Operations	
Council Approval:	Approval Date: <u>7 Oct 2016 3 November 2017</u>	Effective Date: <u>7 Oct 2016 3 November 2017</u>
Previous Policy Number:	MP0314	Review Date: <u>7 Oct 2018 7</u>
Contact Authority:	Chief Operating Officer	Status: Current

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/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~~ and free from conflict of interest
- 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) and All of Government Contracts
- ~~Consider~~ Take into account the principles of sustainability and Fairtrade registration
- ~~Take into account the principles of Fairtrade registration~~
- Consider the outcomes from previous purchases or procurement with any prospective supplier
- Manage risk effectively and comply with all relevant legislation
- ~~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 for one-off purchases 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 Procurements that are of a regular recurring nature (e.g. insurance, cleaning, energy) are subject to the standard procedures managed by the procurement and contracts office.

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

- 2.3.2.4 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. The Chief Operating Officer may on a case by case basis require such legal advice to be obtained as may be appropriate. nd will provide instruction in relation to this on a case by case basis.

- 2.4.2.5 The Chief Operating Officer may waive the requirements of 2.1 where:
- circumstances make it impractical to devote resources in calling for quotations/tenders/proposals; or
 - the item and/or service is only available from one supplier; or
 - 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:
- record and justify all key decisions including the rationale for the selection of the successful tenderer/proposer.
 - 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.

4. Intellectual Property

3.33.4 4.1 Ownership of intellectual property will be in accordance with policy MP1100.01 Intellectual Property

Related Policy, Forms and Documents

Procedures for Tendering and Proposals - Appendix 1

Procedures for Purchasing - Appendix 2

~~RFP Template - Appendix 3~~

~~<http://insite.op.ac.nz/Knowledge%20Base/Contract%20Templates.aspx>~~

Otago Polytechnic Ethical Purchasing and Procurement - Appendix 43

RFP template available on Otago Polytechnic Intranet site or by contacting Otago Polytechnic Contracts Manager

CP0008 Sensitive Expenditure Policy

CP0012 Conflict of Interest Policy

MP0303 Authorities and Delegations from Chief Executive

MP0360 Fairtrade

MP1100.0 Intellectual Property

Approved by Council

Date: ~~7 October 2016~~ 3 November 2017





Procedures for Tendering and Proposals

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.
- 3.2 Formal membership shall comprise:
 - a) Chief Executive
 - b) Chief Operating Officer (Chair)
 - c) Director Business Services (where requested)
 - ~~e)d) Director External Relations, Communications and Marketing and Community Relations (where requested)~~
 - ~~d) Director Learning Environment~~
 - e) Deputy Chief Executive Learning and Teaching Services
 - f) Deputy Chief Executive People, Performance and Development
 - g) Deputy Chief Executive Learner Experience

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 ~~Council~~~~Team~~ member.

3.3 Secretarial assistance for Tender Board matters will be provided by the Chief ~~Operating Officer's~~~~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 (modelled on the Government Standard RFPx Template). The template can be obtained from the Otago Polytechnic Intranet site or by contacting Otago Polytechnic Contracts Manager.

~~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/late 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.
- 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 ~~should 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.
- 1.4 A single purchase is not to be split over more than one purchase order.
- 1.5 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
- 1.6 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.
- 1.7 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.
- 1.8 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.
- 1.9 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.
- 1.10 Maintenance of the electronic purchase order system including supplier details, security access, delivery points and general ledger codes will be done by Finance.
- 1.11 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.
- 3.2 Expenditure which falls under the sensitive expenditure or conflict of interest policies must be approved in accordance with these policies.
- 3.3 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.
- 3.4 It is possible for other arrangements to be made in lieu of remuneration as agreed with the Chief Executive or the Chief Operating Officer.
- 3.5 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/College for academic staff and approval of <u>the respective Director/Service Manager</u> 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; <ul style="list-style-type: none"> 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
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
for purposes approved by the Chief	

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





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 the ethical status of the supplier, 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 and ethical 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 guide 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 and ethical 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 and ethical 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

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OTAGO POLYTECHNIC COUNCIL POLICY		Number: CP0010.043
Title:	Fraud Prevention and Response	
Baldrige Criteria:	6 Operations	
Council Approval:	Approval Date: <u>7 Oct 2016</u> <u>13 November 2017</u>	Effective Date: <u>7 Oct 2016</u> <u>13 November 2017</u>
Previous Policy Number:	na	Review Date: <u>17 Oct 2017</u> <u>2018</u>
Contact Authority:	Secretary to Council	Status: Current

Purpose

- To ensure that the assets and reputation of Otago Polytechnic, its Council, and its staff are protected from fraudulent misconduct.
- To ensure 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.

Applies to

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

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 Compliance

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

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

Policy 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), immediately. Alternatively, disclosure may be made under the Protected Disclosures Act 2000 and subsequent amendments, Otago Polytechnic policy CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing) and associated Otago Polytechnic procedures.
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 Deputy Chief Executive People, Performance and Development and Directors/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.

Referral Documents

Appendix 1 – procedural guidelines
Fraud Control Plan
CP0009 Protected Disclosure of Serious Wrongdoing Policy (Whistleblowing)
MP0444 Resolving Performance Problems
MP1100 Intellectual Property (if applicable)
Student Rights and Responsibilities (as published on the Otago Polytechnic website)

Delegation of Procedures

Responsibility

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

Approved by Council

Date: 3 November 2017



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

Approved by Council
Date: 7 October 2016



OTAGO POLYTECHNIC COUNCIL POLICY			Number: CP0014.02+1	
Title:	Internal Audit			
Baldrige Criteria:	6 Operations			
Chief Executive Approval:	Date of Approval:	7 Oct 2016 <u>November 2017</u>	Effective Date:	7 Oct 2016 <u>November 2017</u>
Previous Policy No:	n/a		Review Date:	17 Oct 2018 7
Contact Authority:	Secretary to Council		Status:	CURRENT

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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
Tertiary Funding Information - www.tec.govt.nz

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

Internal Auditor refers to the person or the organisation appointed to conduct internal audits for Otago Polytechnic. This person or organisation may be internal to Otago Polytechnic or a contracted external party (or both) 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 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
- meeting with the Internal Auditor independently of management on an annual basis.



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Responsibilities of Management

The Chief Operating Officer (COO) is responsible for ensuring that 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 framework 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.
- review of cyber security with reference to policy MP0343 Use and Security of Information Systems.
- review of health and safety policies (MP0400 – MP0421 series as published on the Otago Polytechnic website), procedures and compliance
- 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
MP0343 Use and Security of Information Systems
MP0400 Occupational Health and Safety - Commitments and Responsibilities
MP0402 Health and Safety Induction and Training
MP0403 Hazard Management
MP0404 Accident, Incident and Occupational Illness Reporting
MP0405 First Aid
MP0406 Emergency Evacuation and Earthquakes
MP0407 Computer Health and Safety
MP0408 Protective Clothing and Equipment
MP0409 Vision Safety
MP0410 Employee Workplace Injury, Illness, Rehabilitation
MP0411 After Hours Safety, Security and Building Access
MP0412 Smokefree, Auahi Kore Policy
MP0414 Contractor Health and Safety
MP0417 Driving and Vehicle Safety
MP0421 Occupational Health Monitoring

Approved by Council
Date: 3 November 2017



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Fraud Control Plan

October 2017~~6~~

Statement of Principle

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

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

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

Staff and Community Awareness and Involvement

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

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

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

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

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

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

1.2. Application of Fraud Control Plan

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

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

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

1.3. Definition of fraud

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

1.4. Examples of fraud

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

- manipulation, falsification or alteration of data, records or documents;
- suppression or omission of the effects of transactions from records or documents;
- recording of transactions without substance;
- manipulation of accounting policies;
- misrepresentation in a financial report;
- misappropriation (theft) of assets;
- accepting or offering of bribes or inducements;
- disclosing of confidential information to third parties with a view to personal gain or gain for another person;
- presenting of false credentials or qualifications;
- submitting of false timesheets, leave forms or expense claims;
- dishonest use of the Polytechnic's computers, vehicles, telephones, credit cards, taxi vouchers and other property or services;
- dishonest use of Polytechnic intellectual property;
- deception resulting in a loss to the Polytechnic that is dishonest, or avoiding or creating a liability for the Polytechnic;
- falsifying of invoices for goods and services;
- use of purchase or order forms to gain a personal benefit;
- unlawful or unauthorised transfer, use or allocation of Polytechnic property and assets including moneys and/or funds held by or on trust for the Polytechnic;
- dishonest use of grant or research funds, or scholarships;
- improper disposal of assets;
- hacking into or interfering with the Polytechnic's computer system.

1.5. Statement of attitude to fraud

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

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

To achieve its fraud prevention objectives the Polytechnic will:

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

2.0 Prevention

2.1 Integrity framework

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

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

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

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

2.2 Fraud control responsibilities

The Polytechnic's Deputy Chief Executive Corporate Services / Chief Operating Officer is the appointed Fraud Control Officer and is responsible for overseeing investigations of fraud related allegations. The Fraud Control Officer is also the central point of contact for reporting alleged fraud.

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

- The Finance and Audit Committee
- The Fraud Control Officer (currently COO)
- The Deputy Chief Executive Corporate Services / Chief Operating Officer
- Deputy Chief Executive People, Performance and Development
- All Directors, ~~Managers~~ and Formal 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: People and Culture Organisational Development and Managers-Formal Leaders or equivalent should consider all appropriate checks to conduct (including police and credit checks) having regard for the proposed appointment and the work area.

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 ~~in~~ Section 2.3 will therefore include the identification of early warning signs or "red flags" for suspected fraud and how to respond if they are identified.

All staff and all ~~Managers~~ Formal Leaders in particular, should be aware of their responsibility to remain vigilant to identify and report any suspected fraudulent activity. Managers and staff should be alert to the common signs of fraud. Signals for *potential* fraud include:

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

3.5 Avenues for reporting suspected incidents

3.5.1 By staff

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

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

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

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

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

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

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

3.7 Role of the external auditor in the detection of fraud

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

3.8 Role of internal audit in the detection of fraud

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

4.0 Response

4.1 Investigation procedures

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

- Deputy Chief Executive Corporate Services/Chief Operating Officer
- Director: People and Culture~~Organisational Development~~ and;
- Other relevant senior executive managers e.g. Chief Executive/_/Director Quality Services

The team will follow the procedures as outlined in the policy CP0010 Fraud Prevention Policy (~~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

improvements where required. Where improvements are required, they will be implemented as soon as practicable.

4.3 Recovery of money or property lost through fraud

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

4.4 Communication protocol

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

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

5.0 Relationship with other Otago Polytechnic Policies

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

- CP0010 Fraud Prevention Policy
- CP0009 Protected Disclosure of Serious Wrongdoing (Whistleblowing)
- CP0012 Conflict of Interest
- MP0444 Resolving Employment Problems
- MP0303 Authorities and Delegations from the Chief Executive
- MP0430 Employment Delegations
- MP0304 Specific Financial Authorities and Delegations
- MP0352 Otago Polytechnic Credit Cards
- MP0446 Travel on Otago Polytechnic Business
- CP0008 Sensitive Expenditure
- AP0602 Student Discipline
- MP0362 Asset Management (Operational – Acquisition and Disposal)
- CP0013 Procurement and Purchasing Policy

Appendix A Otago Polytechnic Fraud Control Plan – Overview Diagram

Otago Polytechnic Fraud Control Plan – Overview Diagram

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

Appendix B Otago Polytechnic Fraud Control Responsibilities

Role	Fraud Control Responsibilities
Finance and Audit Committee	<ul style="list-style-type: none"> The Finance and Audit Committee (FAC) is responsible for overseeing the process of developing and implementing the Fraud Control Plan. The FAC is required to assure itself, on behalf of the Council the action proposed by the Polytechnic appropriately addresses the fraud risks identified during the fraud risk assessments. In doing so it will consider the nature and timing of a program of internal audits (refer 3.8) to monitor key controls. The FAC will also review the reporting of the progress of reviews to determine whether appropriate fraud prevention and monitoring measures are in place.
Role	Fraud Control Responsibilities
Fraud Control Officer	<p>The Fraud Control Officer has principal responsibility for fraud control within the Polytechnic. This includes:</p> <ul style="list-style-type: none"> Developing an overall fraud control strategy for the Polytechnic, including operational arrangement for dealing with fraud; Building a programme of internal audit; Overseeing fraud awareness and control training; Overseeing the Polytechnic's fraud risk assessment process every two years; Overseeing the follow-up of the fraud risk assessment by ensuring that all timetabled mitigation strategies are implemented in accordance with the Fraud Control Plan; Facilitating a review of the Polytechnic's Fraud Control Plan every two years, or following any significant structural change to the Polytechnic; Reporting to the Finance and Audit Committee on fraud control initiatives undertaken by the Polytechnic; Ensuring that all fraud related policies and procedures are communicated and available to staff via the Polytechnic Intranet; Developing systems to prevent, detect and respond to fraud; Acting as a central referral point for allegations of incidents of fraud to be reported, including ensuring that all instances of suspected fraud are appropriately recorded, investigated, and reported to the FAC and satisfactorily resolved; Ensuring that the Chief Executive and the Finance and Audit Committee are briefed on allegations of suspected fraud; Investigating minor or routine instances of fraud against the Polytechnic in consultation with the Deputy Chief Executive People, Performance and Development and Chief Operating Officer.

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

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

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

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

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

Appendix D
Otago Polytechnic Fraud Register (held at Finance)

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

Appendix E

Otago Polytechnic

Receiving Fraud or Corruption Allegations Form

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

Part A

Details of suspected fraud, corruption or serious and substantial waste

Name and details of people involved (Includes people both within and external to the organisation):

[illegible]

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?)

[illegible]

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: CP0003.043
Title:	Management Reporting of Contracts to Council	
Baldrige Criteria:	1 Leadership	
Council Meeting	Approval Date: 3 March 2017 <u>November 2017</u>	Effective Date: 3 March 2017 <u>November 2017</u>
Previous Policy Number	na	Review Date: <u>17 Oct 2018</u>
Contact Authority:	Secretary to Council	Status: current

Purpose To keep Council informed of major contracts and to enable the Otago Polytechnic Council to perform its governance and fiduciary roles in governing Otago Polytechnic.

Statutory Compliance Education Act 1989

Policy and Procedures The Otago Polytechnic Council require management to report to the monthly Council meeting as follows;
Routine contract renewals over the value of \$50,000 (exclusive of GST)
Contracts that are not routine contract renewals over the value of \$20,000 (exclusive of GST)

The Contracts Register shall clearly identify the following:

1. ~~Contract name~~Parties to the contract
2. ~~Other party~~
3. ~~2. Expiry or renewal date~~
4. ~~3. Value~~
5. ~~4. Provide a subject section, i.e. Operating Lease, Partnership Arrangement, Service Provision, etc~~

Referral Documents Council Paper No. C71/08—Increased contracts management reporting value to \$20,000 from \$10,000.

Approved by Council
Date: ~~3 March 2017~~ November 2017



8. MATTERS FOR NOTING

8.1 Council Calendar

8.2 Executive Leadership Team Conflict of Interest Register

8.3 Minutes

8.3.1 Academic Board 22 August and 12 September 2017

8.3.2 Komiti Kawanataka 20 Hōngongoi (July), 17 Hereturikōkā (August), 21 Rima (September) 2017

8.3.3 Student Council 1 August and 5 September 2017

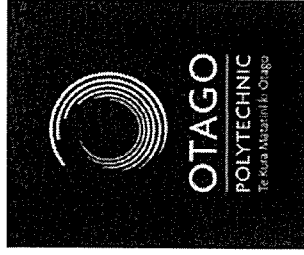
8.3.4 Staff Subcommittee 6 July and 31 August 2017

COUNCIL CALENDAR 2017-18

Meeting/Event	Nov	Dec	Jan 2018	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Audit Process												
Interim				2 Feb								
Signoff						13 April						
Forecast								1 June				
Budget	3 Nov											
Council Meeting Fridays	3 Nov	1 Dec Placeholder		2 Feb	2 Mar	13 April OPAIC	4 May Placeholder	1 June	6 July	3 Aug	7 Sept Placeholder	5 Oct
Evaluation - Review - Report		Dec		2 Feb								
Function		8 Dec										
Photo				2 Feb								
Fees Set												
International								1 June				
Domestic												5 Oct
Finance and Audit Ctee	24 Nov		26 Jan	23 Feb	30 Mar	27 April	25 May	29 June	27 July	31 Aug	28 Sept	26 Oct

Meeting/Event	Nov	Dec	Jan 2018	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Graduation		8 Dec			9 Mar							
Maori Pre-Grad		7 Dec			8 Mar							
Komiti Kawanataka Thurs at 8am	16 Nov	21 Dec	18 Jan	15 Feb	15 Mar	19 April	17 May	21 June	19 July	16 Aug	20 Sept	18 Oct
Investment Plan Draft												
Approval												
Report												
Risk Management												
Review Policy												
Strategy Workshop Approval												
OP Events	<u>Student Showcase 2017</u>	1 Dec Staff party 2 Dec Million Dollar Dinner		8 Feb Breakfast and staff meeting			4 May Disting. Alumni Awards				3 Sept Spring Breakfast	

9 Nov EAD student Showcase
 17 Nov Collections
 18 Nov Plant Sale Anzac Ave
 Charity House Auction
 18 – 23 Nov SITE, School of Art



OTAGO POLYTECHNIC CONFLICT OF INTEREST REGISTER – STRATEGIC LEADERSHIP TEAM

Register to be maintained for the Strategic Leadership Team and kept by the Chief Executive's office as per policy CP0012.02
Conflict of Interest.

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

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
31 January 2017	Phil Ker	Board Member: – Malcam Trust – Te Tapuae o Rehua – TANZ – TANZ eCampus Limited – OP Auckland International Campus Ltd OPAIC Limited Partnership (Chief Executive of OP as Partner) Convenor – selection panel for National Tertiary teaching Excellence Awards Glenys Ker, Programme Leader Capable NZ - spouse	Possible subcontractor Possible customer Possible competitor Possible bias Personal interests	Pecuniary Pecuniary Non-pecuniary Both	Transparency Transparency Non participation re OP candidates OP Policy
13 June 2017	Oonagh McGirr	None			
11 Mar 2016	Chris Morland	Ellen Morland, OP staff member	None		



Academic Board

Minutes of the Academic Board meeting held on 22 August 2017

Present: Sue Thompson (Chair), Chris Morland, Sally Baddock, Megan Gibbons, Oonagh McGirr, Lesley Smith, Leoni Schmidt, Janine Kapa-Blair, Mereana Rapata-Hanning, Linda Kinniburgh, Phil Ker (left 9.30am) and Sam Mann (via Skype)

In Attendance: Ron Bull, Pam Thompson

Apologies: Nick van der Walt (resigned), Doris Lancaster.

Quorum (9) achieved

1. Previous minutes: 11 July and 15 August

A59/17 AB Minutes 11 July 2017 for approval as true and correct record and matters arising.

Matters/Actions arising:

- **A44/17** Feedback to NZQA on Tertiary Evaluation Indicators
 - We support the revised indicators, notification sent to NZQA 31 July 2017.
 - Workshop re APERs and next EER - ongoing planning
- **A55/17** EduBits schedule July 2017 – re-presented for approval the variance in credits is due to the alignment to unit standards - July schedule is re-attached for approval see agenda item #4

Recommendation: That Academic approve the minutes of 11 July 2017 as a true and correct and note any matters arising.

Agreed: Sue Thompson / Leoni Schmidt

A71/17 AB Minutes 15 August 2017 for approval as true and correct record

Minor amendment to quorum names – insert Leoni Schmidt in place of second entry Sally Baddock.

Recommendation: That Academic approve the minutes of 11 July 2017 as a true and correct and note any matters arising.

Agreed: Sue Thompson / Megan Gibbons

2. A72/17 (QAC19/17) OT5128 Bachelor of Construction

Discussion focussed on:

- Straightforward and well written programme document
- Joint development between Construction Team and AIC
- NZQA have indicated that where a student completes a diploma and gains advanced standing into an aligned degree, that they (the student) will need to hand back diploma – could be an issue with this degree.

Recommendation: That Academic Board approves the programme of study document for OT5128 Bachelor of Construction for NZQA application for approval and accreditation.

Agreed: Chris Morland / Oonagh McGirr

3. A73/17 (QAC29/17) OT5137 Bachelor of Leadership for Change (previously titled Bachelor of Making a Difference)

Discussion focussed on:

- 1.2 development note – remove. This is confusing needs to be what degree is about not what it isn't about i.e. 'different' in what way and why.
- Research – incomplete and no research plan included yet, pg 181 is empty
 - Needs to be unique to this degree, can't be same as DPP, capability about this specific programme
 - Concern about the MPP and DPP model being used when the market is school leavers
 - Take into account current staffing and the connection/interface with the outcomes
 - Research is not linked to what is offered – need more clarity in the document, expand table or add matrix of how the listed staff support the outcomes, graduate profile of the students learning
 - **Sam's response** - pg 30 has the start of a table, does this just need expanding?
 - **Sam's response** - CapableNZ research plan to be inserted pg 181
 - Need framework to anchor methodological and theoretical practice for student capability requirements
 - PK: The notion of framework of practice set out here needs further work for this target group. The essence of a framework of practice is to have an area of practice and to articulate how one practices or in this case wishes/intends to practice.
 - **Sam's response** – whole first year is about emergent framework of practice, building capability identity and independent learning
 - Leoni will supply rewrite section 4.5 with suggested links
- Entry Criteria – need to **add academic entry criteria and selection criteria** alongside International entry criteria.
- Risk for OP – require baseline of taught framework especially since we are targeting school leavers. School leavers require structure.
- Course summaries – appear totally teacher directed – we need to expand to see the breakdown directed/self directed hours
- NZQA panel perspective (Megan's experience) – ensure we state how programme fits our current framework, not how it is different
- 'Outward Bound' type identity course – concern students thrown in the deep end? Are we at risk here or do we have the structure for support, pastoral care/practical skills
 - **Sam's response** – reassure yes we have the staff and the support structure students won't be placed in sink or swim position – learners will experience different work environments but within a safe structure
- Process versus content – degree appears to have process driven methodology with content to support. CapableNZ primarily process based, individual rather than cohort – do we need to add wider cross section of staff into the list who are process centred e.g. Caro McCaw?
- Māori component
 - some risk here saying 'All experience Noho marae'; we do not currently have the capacity to deliver on this, and further, it is not a kaupapa Māori programme, nor does it have professional standards that need to be met as a requirement of the degree (e.g. like Nursing or OT)
 - if learner brings the cultural capital themselves, then they can explore and develop this further as part of their self-directed learning but need clarity around who/what/all students
 - Mātauranga Māori needs to be explicit in Delivery Methods – articulate for clarity – mentioned as relevant and important earlier in document, but missing from this specific section
 - What staff will support this?
 - **Sam** – care taken not to make claims, rather what influences and underpins the cultural understanding
 - While the OP Māori Language Policy states learners can undertake assessments in te reo Māori, this requires much discipline specific and/or language fluency to respond. It is important that we keep this degree generic, but signal the intent going forward re: continuous development.
- Blended learning – how does programme incorporate blended learning, pg 33 rework paragraphs to decrease emphasis on CapableNZ and increase emphasis on Leadership for Change
- Check whole document for CapableNZ statements and rephrase or alter to avoid confusion around individual/independent learning CapableNZ pathways and intended pathway for this programme in relation to school leavers.

- *General administrative*
 - proofread and ensure contents page and numbers are updated to match before sending document
 - NZQA Panel nominees are being considered and collated at present

Additional points emailed from Phil Ker

- There is not sufficient clarity around what we mean by capability and the difference between capability and competency. There are inconsistencies across the document.
- I think the definition of curated experiences is too narrow.
- The staffing profile is incomplete and is too narrow. We need to include experienced teachers (experienced in project based learning) from across the Polytechnic – subject to their agreement of course. Caro McCaw is a must have given the nature of the project she is already running.
- I am not convinced that we have a strong enough articulation of how we intend to scaffold the learning of school leavers. The document by its silence seems to suggest that we can simply throw people into the deep end of independent learning. This is simply not so and school leaver learners will need structure. The structure might be there but it is not obvious.
- The learning hours issue needs to be resolved. They are not all teacher directed and there will in fact be a mix depending on the extent to which the learners need to be “taught”. We should not shy away from there being “teaching” in this programme.
- I’m not sure that we have dealt with the discipline/body of knowledge issue adequately. It is better to be positive about the knowledge base being that which is relevant to the learner rather than emphasising that there is not a traditional knowledge base. It is just a difference in emphasis.
- Having changed the name from B.MaD I am not sure that we should continue with terminology like My.Mad and Our.Mad.
- In the diagram which compares this degree with the MPP, DPP and GDPP this degree appears twice with the rationale that you are trying to depict multiple individual programmes of learning. In fact, all of the other professional practice qualifications have the same characteristic. I think we should be leveraging what is common to what we’ve got rather than trying to create differences that do not exist.

Action: Subject to changes being made and signed off by appointed subcommittee prior to 31 August 2017, subcommittee to comprise:

- Leoni Schmidt
- Phil Ker
- Janine Kapa-Blair
- Oonagh McGirr
- Chris Morland

the following recommendation is made:

Recommendation: That Academic Board approves the programme of study document for OT5137 Bachelor of Leadership for Change for NZQA application for approval and accreditation.

Agreed: Sue Thompson / Mereana Rapata-Hanning

4. EduBits

A55/17 EduBits Schedule July 2017 – re-presented from 11 July meeting. Variance in credits due to alignment with Unit Standards whole and component parts.

A74/17 EduBits Schedule August 2017

Note to Marketing team – some EduBits have been advertised before final approval gained. Timing issue? Caution risk of breach of NZQA quality processes.

Recommendation: That Academic Board approves the EduBit schedules for July and August 2017 as listed.

Agreed: Sue Thompson / Leoni Schmidt

5. A75/17 Type 1 change to OT5066 Bachelor of Engineering Technology

Change to programme document – consortium degree, change sanctioned, OP first step then back to consortium to change overall.

Recommendation: That Academic Board approve the type 1 change to the programme document for OT5066 Bachelor of Engineering Technology for effect in 2018.

Agreed: Sue Thompson / Mereana Rapata-Hanning

6. **A108/16 Academic Board policy** - updated and approved policy to take effect from 1 September 2017. Thank you for service to the current Academic Board membership, and particularly to outgoing co-opted member Doris Lancaster, Ron Bull (delegate from KTO office) and Mereana Rapata-Hanning (Maori Academic staff representative) for their attendance and input.

Thank you also to Lesley Smith (co-opt June 2016) - it is recommended that with the addition in the new membership of two HoS/C representatives that Lesley's co-opt status be formalised as the second HoS/C representative. An email will be sent to the HoS/C group to discuss and confirm this nomination.

Actions pending – final physical signing of policy then email to 'new' members to invite to attend from 1 September:

- Marc Doesburg, Director Internationalisation
- Brayden Murray, Director Learner Services
- Rebecca Williams, Tumaki Te Punaka Owheo

With email also to rest of the membership a reminder about attendance and designated alternate, notified to Academic Board if unable to attend.

Actions ongoing: Pam**7. General Business items for noting**

A76.17 QAC minutes - 25 July 2017 and 1 Aug 2017

A77.17 policies updated after consultation with Research and Postgraduate Committee - recommended to CE for approval

- MP1102.03 PBRF decisions
 - Check clarity around notification back to school and confidentiality - Leoni
- AP1102.03 Contestable Research Funding
 - Note: change 'Tangata Whenua' to 'Mana Whenua' under membership

A78.17 The New Zealand Qualifications Authority (NZQA) recently asked for feedback on a proposal to publish statutory actions on the NZQA website. The feedback NZQA received from this survey has been analysed, and a decision has been made to publish summaries of statutory actions, including current compliance notices, on NZQA's website, from Monday 3 July 2017. A summary of the survey feedback, and the decision, can be found on NZQA's website.

A79.17 list of outstanding NZQA applications and number of days pending approval.

Recommendation: That Academic Board notes the supplied minutes, updated policies, NZQA notification of publication of feedback, and NZQA report on approvals pending.

8. Other Business

- NZQA rule change to rule 18 requires change to policy – **Urgent action: Sue/Pam**
- OP English language test needs to be resubmitted to NZQA by 18 September – **Urgent action Sue**

Meeting closed 10.40am

Next meeting: 12 September 2017

Action summary

who	what	when
Sue	Resubmit OP English language test to NZQA	Before 18 Sept 17
Sue/Pam	Urgent policy update following rule change by NZQA to AP0520.03 English Language Requirements for International Students and those for whom English is an additional language	Asap -urgent
Pam	Emails and invites to Academic Board re changed membership	Before 1 Sept 2017
Leoni Schmidt Phil Ker Janine Kapa-Blair Oonagh McGirr Chris Morland	Subcommittee to signoff changes to OT5137 Bachelor of Leadership for Change prior to sending to NZQA for approval	31 August to NZQA



Academic Board

Minutes of the *electronic* Academic Board meeting held on 12 September 2017

Responses from

1. Phil Ker (move)	Approve	12/09/2017	8.43am
2. Lesley Smith	Approve	12/09/2017	8.47am
3. Megan Gibbons	Approve	12/09/2017	9.26am
4. Leoni Schmidt	Approve	12/09/2017	9.33am
5. Chris Morland	Approve	12/09/2017	9.54am
6. Sue Thompson	Approve	12/09/2017	10.38am
7. Brayden Murray	Approve	12/09/2017	1.40pm
8. Marc Doesburg	Approve	12/09/2017	2.17pm
9. Linda Kinniburgh	Approve	12/09/2017	3.56pm

Quorum (9) achieved 12/09/2017

1. A81/17 Type 1 Changes and Certificate of Proficiency Enrolments for approval

Recommendation 1A: That Academic Board approves the Type 1 Changes as listed.

Agreed: Phil Ker/Lesley Smith

Recommendation 1B: That Academic Board approves the individual Paths of Study for Certificate of Proficiency students listed.

Agreed: Phil Ker/Lesley Smith

2. Quality and Approvals Committee approval recommendations

A82/17 (QAC30/17) NZ2420 New Zealand Diploma in Construction (Level 6) - Type 2 Change

Recommendation 2A: That Academic Board approve the Type 2 change document for NZ2420 New Zealand Diploma in Construction (Level 6).

Agreed: Phil Ker/Lesley Smith

A83/17 (QAC31/17) NZ2490 New Zealand Certificate in Animal Technology (Level 5) – Type 2 change

Recommendation 2B: That Academic Board approve the Type 2 change document for NZ2490 New Zealand Certificate in Animal Technology (Level 5).

Agreed: Phil Ker/Lesley Smith

A84/17 (QAC 32/17) NZ3450 New Zealand Certificate in Light Automotive Engineering (Level 4) - new

Recommendation 2C: That Academic Board approve for accreditation the programme of study for NZ3450 New Zealand Certificate in Light Automotive Engineering (Level 4).

Agreed: Phil Ker/Lesley Smith

3. Type 2 Change - TANZ eCampus change to teaching weeks

A85/17 TANZ providers have been requested by TANZ eCampus to make type 2 changes to delivery weeks to ensure that NZQA and TEC have the correct information and that learners studying full time can secure student allowances. The table showed the current approved Full Time Equivalent Weeks for programmes delivered through TANZ eCampus, the Loan Entry Threshold weeks for securing student allowances for a particular programme credits / EFTS, and the learning path durations that have been developed for courses within each PoS. There is misalignment between what is currently approved and delivered. To ensure everything is accurately recorded by both NZQA and TEC, the Full Time Equivalent Weeks for the TANZ eCampus online delivery need to be amended and approved as noted in the table.

Jackie Rees, the Academic and Quality Manager for TANZ e-campus, spoke with TEC and NZQA and received the following responses to how we action these changes:

TEC: "When you enter the programme into STEO, you are best to do this for the face-to-face delivery weeks. Part-time and other methods of delivery can be mentioned somewhere in the Notes just as an alert. It's pretty much impossible to match the weeks for different modes of delivery, just make sure ITPs are upfront with the auditors that there are other types of delivery approved and the times vary."

NZQA: "Unfortunately, we can only put in one set of hours into the database, but we do put in the alternative hours into the comments box. It is an ongoing issue re differing hours for differing deliveries." (note: this applies to difference in weeks as well).

Recommendation 3: That Academic Board approves the change to teaching weeks, vacation weeks and Total Gross weeks for the TANZ eCampus delivery qualifications as listed.

Agreed: Phil Ker/Lesley Smith

4. TANZ E-Campus approval of the Administration and Technology strand of NZ2459 NZD in Business (L5)

A86/17 TANZ eCampus - NZ2459 NZ Diploma in Business (Level 5) (Administration and Technology) – NMIT's Programme of Study

Recommendation 4: That Academic Board approve accreditation for the TANZ NZ2459 NZ Diploma in Business (Level 5) (Administration and Technology) to be delivered on the TANZ eCampus platform.

Agreed: Phil Ker/Lesley Smith

- 5. A87/17 Temporary Site Approval** of 12 Hughes Crescent, Cromwell for delivery in 2018 of the following listed programmes: The Building houses individual workshops, teaching spaces, common room facilities and all other student required facilities. The Building holds a Building code of compliance. We have our institutional Health and Safety systems overlain.

Recommendation 5: That Academic Board approves the use of 12 Hughes Crescent, Cromwell, for temporary delivery in 2018 for the following programmes:

- Programme A: NC1222 National Certificate in Motor Industry (Foundation Skills) (Level 1)
- Programme B: NC1252 National Certificate in Motor Industry (Entry Skills) (Level 2)
- Programme C: NZ3097 New Zealand Certificate in Automotive Engineering (Level 3)
- Programme D: NZ3460 New Zealand Certificate in Automotive Electrical Engineering (Level 4)
- Programme E: NZ3450 New Zealand Certificate in Light Automotive Engineering (Level 4)
- Programme F: NC1368 National Certificate in Building, Construction and Allied Trade Skills (Level 2)
- Programme G: NZ2834 New Zealand Certificate in Construction Trade Skills (Level 3) (Carpentry).

Agreed: Phil Ker/Lesley Smith

6. A88/17 EduBit Schedule September 2017

Recommendation 6: That Academic Board approves the EduBit schedule as listed.

Agreed: Phil Ker/Lesley Smith

Next scheduled meeting: 10 October 2017

Minutes of a Meeting of Te Komiti Kāwanataka



Held at 12.30pm on 20 Hōngongoi 2017 at Te Punaka Ōwheo Hui Room

PRESENT: Megan Potiki (Chair)
Kathy Grant
Janine Kapa-Blair
Chris Morland
Eleanor Murphy

IN ATTENDANCE: David Higgins
Marshall Hoffman
Rebecca Williams
Richard Kerr Bell
Ron Bull
Tessa Thomson
Shaun Tahau
Debbie Davie (Minutes)

Karakia/Timatanga: Richard Kerr-Bell

1. APOLOGIES

Jeanette Wikaira, Claire Aitken, Phil Ker, Khyla Russell, Simon Kaan.

2. MINUTES

The minutes of the meeting held on 17 Pipiri 2017 were provided.

Recommendation

Janine Kapa-Blair / Megan Potiki

That the minutes be approved as a true and correct record of the meeting.

Agreed.

3. MATTERS ARISING

a. Review of MOA with Ngāti Whātua

Review of Memorandum of Agreement (MOA) is still under consideration – will re-contact.

b. Campus Redevelopment (Janine)

To be discussed further at the Council meeting set for 4 August:

- Concern with the TPO's current allocation of space with increasing taura and staff using the space.
- Suggest the plan for the new TPO be looked at separately to the rest of the development.
- Consideration be given to the number of times Te Punaka Ōwheo is de-camped and the unsettling effect it will have on taura.

The Council will further discuss and make decisions on the wider development prior to sending through any communication.

Timeframe – within the next 12 months.

Council wanting further clarification on the flow-on effect of the plan for the institution as a whole (tying pieces of the puzzle together).

c. Komiti ki Waho membership (Janine)

Membership – TOR for Komiti Kāwanataka and Ki Waho (revised this time last year)

Visiting members (up to 12 members on Komiti)

Current members and representation:

- Chair of Komiti and Komiti Council Representative – Megan Potiki
- Chair of Council – Kathy Grant
- Mataawaka Representative – Jeanette Wikaira
- Staff – Academic often HOS and a General Staff member **Vacant**
- Kaitohutohu – Janine Kapa-Blair
- Rūnaka:
 - Eleanor Murphy (Ōtākou Rūnaka)David Higgins is happy to represent Moeraki, providing he has rūnaka support (TBC); preferable to have 2 or 3 representatives rather than 1
- Leadership Team Representative – Chris Morland (Leoni Schmidt may be interested – to be approached).

Ki Waho – TOR

Background

- Membership was dependent on the expertise required and as a vehicle to involve/engage the wider community.
- Representatives from other organisations to get a broader feel for what was happening in the community.
- Trusted advisors supportive of the Kaitohutohu at a local and national level providing input

Current Members

- Jeanette Wikaira
- Claire Aitken

Further discussion around current needs when considering new membership going forward for Kaitohutohu and Chair of Komiti.

- Would it be more beneficial to bring in people once or twice a year to host a 'think tank' challenging our thinking/direction?
- Bi-annually or annually, not to exclude people, but rather to seek a particular area of expertise i.e. academic.

Further thoughts or feedback email Debbie, Tessa or Janine.

Acknowledgment given to current members and the values and expertise they bring.

4. Māori Annual Report

Update

- Cover – art by Hannah Cockfield (tabled)
- Gianna and Megan to do a final edit to ensure consistency
- Council impressed with quality of report
- Distribution – 50 hardcopies ordered

KAITOHUTOHU OFFICE REPORT PREPARED FOR KOMITI KĀWANATAKA

Date: 20 Hōngongoi 2017

MSF Priority 1: Treaty of Waitangi <i>Objective: an effective partnership with Kāi Tahu/Māori</i>		
What/When	Who	Outcome/Action
Māori Annual Report	KTO Office	Has been to Council for approval and is now with the translator for final check prior to printing. We continue to be on track for meeting deadlines.
Te Tapaue o Rehua	Janine/Ron	Meeting with Kym Hamilton and staff from ABE to discuss opportunities for He Toki ki te Rika (MPTT) at OP has taken place, conversations are ongoing.

MSF Priority 2: Kāi Tahu/Māori Leadership/Staffing <i>Objective: attract, support & retain Kāi Tahu/Māori staff at all levels within OP</i>		
What/When	Who	Outcome/Action
Presentation with People and Culture staff around the MSF	Janine/Jo/HR Partners/Jan Hudson Marketing	Ongoing conversations to further embed the MSF into HR policies, processes and practices, with a view to them developing their own MSP (2021).
College of Community Development and Personal Wellbeing	Janine	MSF workshop delivered during a full staff meeting, with a view to the College developing their own MSP (2021).
School of Nursing	Janine	MSF workshop delivered during staff meeting, with a view to the School developing their own MSP (2021).
Preliminary meetings with other Colleges and Service Areas	Janine	Initial meeting held with the heads/leaders of Capable NZ, Campus Services and Massage Therapy to plan for an all staff MSF workshop.

MSF Priority 3: Kāi Tahu/Māori Students <i>Objective: have Māori participate & succeed at all levels of learning</i>		
What/When	Who	Outcome/Action
Manaaki Tapoi – Secondary / Tertiary pilot	Rebecca	An invitation has been sent to schools and rūnaka calling for students to participate in this programme.
Poverty issues for tairā Māori	TPO	A joint meeting was held with OPSA and Student Success to discuss how existing levels of service can be improved. An additional report is being prepared for the Executive Leadership Team.
EPI results report	Chris and Rebecca	TPO was invited to comment on a report submitted by programmes that have not met their EPIs. Comment was provided on a case-by-case basis and suggestions were made for process improvement going forward.

Kā Pūtea Grants	Rebecca	An email has been sent out to all Kai Tahu learners letting them know that they can apply for Kā Pūtea grants until the end of August.
Otago Youth Wellness Centre (OYWC) Providers Forum	Rebecca	Rebecca attended the quarterly training providers' forum at the OYWC. Each provider gave an update on their services and the Otago Community Trust also discussed a number of youth initiatives.
Tuakiri	Chris	Tuakiri was again offered to students over the semester break and included students who have signed up for Semester Two programmes.
21 Century Career Learning	Rebecca	Rebecca attended a workshop hosted by Careers NZ on 21C Career Learning.
Optimising Student Success	Rebecca/Chris/Richard	TPO and Student Success have been working with one of the schools to develop a communications model to ensure appropriate feedback loops are maintained; this has now been issued to all schools. BAU with students to ensure their retention and success.
At Risk of Not Achieving (ARoNA) project – MoE and TEC	Rebecca	A letter has been received from the TEC advising of the ARoNA project, which is tracking Māori and Pasifika students born in 1999 and putting additional support in place to help them achieve NCEA Level 2 or equivalent. There are a number of these learners now at OP; our first step is to identify them and understand what support they might need to succeed.
Māori Education Expo 2018	Janine/Rebecca	Bring key community groups, institutions and other organisations together to plan for a whānau-focused expo in October 2018.
TPO Contact Log Report (refer Appendix 1)		

MSF Priority 4: Kāi Tahu/Māori Progs		
<i>Objective: dev quality courses & prog in Te Ao Māori, Te Reo & Māori knowledge in all qual areas.</i>		
What/When	Who	Outcome/Action
Certificate in Mata ā Ao Māori (level 4)	Ron	Continuing to engage with schools and individual staff members to ensure they are on track for completion.
Te Hōkai Nui (2017 Kāi Tahu Capable NZ cohort)	Richard/ Eru	Enrolments closed end of June; interviews are currently being undertaken by Te Tapuae o Rehua.

MSF Priority 5: Inclusive Lrng Environment		
<i>Objective: Kāi Tahu/Te Ao Māori values are understood, recognised & valued within OP's enviro & delivery of progs</i>		
What/When	Who	Outcome/Action

Development of the new Learner Capability Framework (LCF)	Janine/Ron/Barry Law & Kai Tahu educators and industry experts	Difficulties in scheduling a suitable time to meet with members of runaka and Kai Tahu educators locally. Also scheduling a time for Barry Law to present a workshop to Māori staff at OP.
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MSF Priority 6: Research and Māori-centred knowledge-creation		
Objective: <ol style="list-style-type: none"> engage with & ascertain what research priorities are important to Kai Tahu/ Māori communities undertake research relevant to Kai Tahu/Māori communities that benefits Kai Tahu/Māori undertake research that links to Kai Tahu/Māori devt aspirations develop a vibrant Māori research culture 		
What/When	Who	Outcome/Action
Māori Academic Staff Research Plans	Māori Academic Staff, KTO Office	Contestable funding bids due 31 July
SCOPE	KTO Office	Organising a designer and reviewers to look at submissions received.
Research Ethic Applications	Richard	A number of people still struggle to understand that we want know that they have considered Māori interest.
WIPCE (World Indigenous Peoples Conference on Education Conference), Toronto, 24 – 28 July 2017	Janine/Ron	In final stages of trip organisation. The presentation titles are: <i>Educational Design and Native Aspiration: Engaging for substantive change (RB)</i> . <i>Te Pārekereke o Te Kī: Preparing the Seedbed - Innovations in Indigenous Entrepreneurship Education (JK, co-presenting with Dr Diane Ruwhiu, Otago Business School)</i> . Following the WIPCE conference, meetings have been organised with various PIN partner Colleges/Institutes in Saskatchewan, Alberta and British Colombia; presenting on OP's MSF and curriculum development.

Key for who has overall responsibility for these priority areas	
	Kaitohutohu Office
	Turnuaki: Te Punaka Ōwheo (Māori Student Success)
	Turnuaki: Whakaako (Curriculum & Capability)
	Turnuaki: Rakahau & Whakaea, (Research & Innovation)

APPENDIX 1: Learner Activity Report – Te Punaka Ōwheo

Kōrero
KTO Office
(Janine)

- Eru Tarena has been in contact regarding an Iwi based EFTs bank for levels 3 – 7. A proposal has been sent by Te Tapuae o Rehua to the TEC indicating our interest.
- People & Culture Team – have developed (with our input) a strategic goal that aligns with our rationale when recruiting staff based on MSF.

(Ron)

- Working with international students from Humber
- Attending WIPCE, presenting papers over next 3 weeks. Will be visiting five organisations, talking directly to those responsible for student support and indigenous curriculum. Meeting with 10 representatives from other organisations. Our first kaupapa is around supporting others and the notion of manaakitanga.

Scope publication

Background - originally a vehicle for staff and other members of our local community to publish. This years Scope is based on an Art Exhibition in Christchurch, opening in September (hoping for five academic articles to sit alongside the photos).

- Priorities 4 and 5 mainly, focused on phasing out the Certificate in Mata ā Ao Māori.
- The wider strategy: Developing a level 6 certificate. An opportunity to think about the knowledge we want staff to have going forward.
- Barry Laws Learner Capable framework – difficulties in securing a suitable meeting time – work in process.

TPO

(Rebecca)

- Student poverty – still a key issue, a report has gone to the leadership team for consideration.
- Malcam Trust – growing relationship
- Engaging children as early as possible (working closely with Brayden).
- Māori Education Expo (2018) – Focused on the Māori community
- With the information available (Statistics Log) now able to track the number of Māori taurua contacted, as well as Māori learner retention, completion and reasons for withdrawal.

(Richard)

- Ethics applications – 5 received this month
- Capable – 22 applications accepted, another 10 still to come

5. GENERAL BUSINESS

a. Learner Capability Framework

Difficulties in securing a suitable meeting time – work in process.

b. Wildlife Hospital (Partnered with OP)

- Would provide opportunities locally
- Kāi Tahu nominated member on the board
- Vet nursing potential for a scholarship?

Kōrero

- Unique treating area
- Cross contamination – wildlife/domestic

- Is there any support coming through from conservation and/or Allied Penguin Trust?
- Ensure Rūnaka offices are kept up-to-date with information.

c. Watermark

Kotahitaka – connecting, united in vision and purpose

Request from OISA to use for their Scope – Is it for corporate use? For anyone's use?

To be used as approved and under the discretion of the KTO office (in accordance to the guidelines agreed to by the Artist).

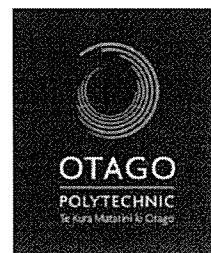
Commissioning of other pieces need to firstly go through the KTO office and then to this meeting for discussion/agreement.

Janine acknowledged and thanked David for his contribution as Chair of Komiti and presented him with a card and gift on behalf of Komiti Kāwanataka.

Whakamutunga/Karakia (Richard)

Closed 2.20pm

Minutes of a Meeting of Te Komiti Kāwanataka



Held at 12.30pm on 17 Hereturikōkā 2017 at Te Punaka Ōwheo Hui Room

PRESENT: Megan Potiki (Chair)
Janine Kapa-Blair
Eleanor Murphy
Jeanette Wikaira

IN ATTENDANCE: Rebecca Williams
Ron Bull
Tessa Thomson
Shaun Tahau
Rachel Dibble
Debbie Davie (Minutes)

Karakia/Timatanga: Shaun Tahau

1. APOLOGIES

Kathy Grant, Chris Morland, Khyla Russell, Simon Kaan.

2. MINUTES

The minutes of the meeting held on 20 Hōngongoi 2017 were provided.

Recommendation

Eleanor Murphy / Jeanette Wikaira

That the minutes be approved as a true and correct record of the meeting.

Agreed.

3. MATTERS ARISING

a. Review of MOA with Ngāti Whātua

Review of Memorandum of Agreement (MOA) is still under consideration

b. Campus Redevelopment (Janine)

Not discussed in detail within the open part of Council meeting

Opening of Te Pā Taurira is coming up – date to be advised

c. Komiti ki Waho membership (Janine)

Further discussion around purpose and membership and alignment with the Kaitohutohu role and needs. Expectation that the 'need' will evolve and become clearer with time.

d. Wildlife hospital

Further to discussions at the Hōngongoi meeting – considerations:

- At what level will Rūnaka want involvement?
- Who would like to be involved?
- Are there scholarship opportunities?

KAITOHUTOHU OFFICE REPORT PREPARED FOR KOMITI KĀWANATAKA

Date: 17 Hereturikōkā 2017

MSF Priority 1: Treaty of Waitangi <i>Objective: an effective partnership with Kāi Tahu/Māori</i>		
What/When	Who	Outcome/Action
Māori Annual Report	KTO Office	Presented to Council, positive feedback received. To be distributed to the wider community.

MSF Priority 2: Kāi Tahu/Māori Leadership/Staffing <i>Objective: attract, support & retain Kāi Tahu/Māori staff at all levels within OP</i>		
What/When	Who	Outcome/Action
Acknowledgment of Mereanna Rapata-Hanning	Janine	Congratulations on receiving the Sustained Excellence Award in 2017 at the Tertiary Excellence Awards in Parliament and planning for a morning/afternoon tea with Kaimahi Māori @ OP.
AMA: Māori Workforce Strategy	Janine	An Action Plan is in the process of being developed to guide the progression of the strategic goals in the AMA.

MSF Priority 3: Kāi Tahu/Māori Students <i>Objective: have Māori participate & succeed at all levels of learning</i>		
What/When	Who	Outcome/Action
Manaaki Tauria (formerly Manaaki Tapoi) – Secondary / Tertiary pilot	Rebecca / Andy Kilsby with Kōkiri Training Centre	There are a total of 14 young people participating on this programme from across the city, all of whom are enrolled at secondary school. They were hosted by Ōtākou Marae on the weekend of 5-6 August. There has been awesome feedback about their participation and learning.
Poverty issues for tauria Māori	TPO	Work on this report is ongoing with further information requested. The institution is keen on making real change for students and is looking at the best way to achieve this.
At Risk of Not Achieving (ARoNA) project – MoE and TEC	Rebecca	Since the last update, 26 learners born in 1999 without NCEA L2 have been identified as either having been enrolled or still enrolled at Otago Polytechnic; eight are identified as Pasifika and 18 are identified as Māori. Feedback has been received from all programmes on their progress or otherwise and meetings held with staff at the MoE about those who have disengaged. Support mechanisms have been put in place for those remaining at OP.

Otago Institute of Sport	Richard	Staff attended a lunch with staff and students at the Otago Institute of Sport and have also been working with them in preparation for their marae visit.
Oranga Tamariki – Transition 18-25 year olds from care	Rebecca	Rebecca attended a hui to discuss transitioning of young people from care to adulthood. Oranga Tamariki are undertaking a 12-month service design exercise in preparation of the age of care rising, this includes mapping current services and gaps. A range of service providers were in attendance and it was useful to be able to provide a tertiary perspective from an OP context.
Learner Capability Framework	Richard and Rebecca along with Māori staff from throughout OP	A few staff have been working with Barry Law on the Learner Capability Framework and ensuring Bi-cultural Proficiency and Cross-Cultural Competence are embedded in the Capabilities & Behavioural Indicators.
Providers Meeting at Community College	Rebecca	Staff attended a meeting of the post compulsory providers' network hosted by the Dunedin Community College. Discussion focussed on communities of learning.
Council meeting held at Ōtākou Marae	Rebecca and Richard	The OP Council meeting was held at Ōtākou Marae this month. The Māori Annual Report was well received by those in attendance and plenty of discussion took place.
Business as Usual – Pastoral Care/Academic Support	Richard, Rebecca and Chris	Continuing to meet the needs of students daily.
TPO Contact Log Report (refer Appendix 1)		

MSF Priority 4: Kāi Tahu/Māori Progs		
<i>Objective: dev quality courses & prog in Te Ao Māori. Te Reo & Māori knowledge in all qual areas.</i>		
What/When	Who	Outcome/Action
Certificate in Mata ā Ao Māori (L4)	Ron	Continuing to engage with Colleges/Schools and individual staff members to ensure they are on track for completion. Currently, we have 54 staff enrolled in courses this semester, as well as 33 external enrolments (Mondelez) in the ToW workshop.
Te Hōkai Nui (2017 Kāi Tahu Capable NZ cohort)	Richard/ Eru	Applications closed at the end of June and enrolments are currently in process. In total, 28 have been accepted onto Te Hōkai Nui; 20 rūnaka members and eight TRoNT staff).

MSF Priority 5: Inclusive Lrng Environment		
<i>Objective: Kāi Tahu/Te Ao Māori values are understood, recognised & valued within OP's enviro & delivery of progs</i>		
What/When	Who	Outcome/Action
Learner Capability Framework (LCF)	Janine/Ron/Barry Law	Barry would like to make a time to meet with members of rūnaka and Kāi Tahu educators locally. He has met with a few

		Māori staff at OP and further embellished the LCF; this remains a WIP.
MSF Priority 6: Research and Māori-centred knowledge-creation Objective: <ol style="list-style-type: none"> engage with & ascertain what research priorities are important to Kāi Tahu/ Māori communities undertake research relevant to Kāi Tahu/Māori communities that benefits Kāi Tahu/Māori undertake research that links to Kāi Tahu/Māori devt aspirations develop a vibrant Māori research culture 		
What/When	Who	Outcome/Action
Māori Academic Staff Research Plans	Māori Academic Staff, KTO Office	Applications for the Contestable funding bids have been lodged with the Research Office.
SCOPE	KTO Office	Currently three academic papers accepted for review, with one more to come, plus an unspecified number from the upcoming Paemanu Artist collective hui (Sept).
WIPCE (World Indigenous Peoples Conference on Education Conference), Toronto, 24 – 28 July 2017	Janine/Ron	Presentations well received.

Key for who has overall responsibility for these priority areas	
	Kaitohutohu Office
	Tumuaki: Te Punaka Ōwheo (Māori Student Success)
	Tumuaki: Whakaako (Curriculum & Capability)
	Tumuaki: Rakahau & Whakaea, (Research & Innovation)

APPENDIX 1: LEARNER ACTIVITY REPORT (Te Punaka Ōwheo)

Kōrero
KTO Office
(Janine)
MAR

Acknowledgement given to those that attended the Council Meeting at Ōtākou Marae on 4 August.

Lateness of MAR distribution to Rūnaka, while unavoidable, was disappointing – apology noted. An electronic version of the MAR will be available on the website.

STAFF ACHIEVEMENT

Congratulations to Mereana Rapata-Hanning on being one of the two OP recipients to be awarded the Sustained Excellence Award in the 2017 Tertiary Teaching Excellence Awards in Parliament. The team are organising a morning tea (31 August) in recognition of this achievement.

(Ron)
CMAM

The main focus this semester is teaching the Certificate in Mata ā Ao Māori (Level 4). There are 54 staff enrolled, with another 33 external students from Cadbury's (Mondelez International group) re-training for future employment.

Teaching this programme under the current structure will end next year and be replaced with Edubits and Micro Credentials, which are small discreet packages of learning; 'flexible qualifications for flexible beings'.

- Discussion around assessments and assessor – who holds the knowledge, who has the ability to evaluate, who will facilitate the learning?
- It would be both useful and appropriate to form a sub-group from Komiti to consult on EduBits with a mātauranga Māori/tikaka Māori/te reo Māori focus
- Examples of knowledge for assessment
- What are the risks to Māori? Is there a risk with packaging Māori knowledge to bite size bits and it still making sense?

Timeline – Development of Edubits and Micro Credentials to be completed by mid-2018.

SCOPE

Two parts – academic articles and Artist responses.

Timeline – hard copies to be available for distribution at Hui-ā-lwi 2017, Tuahiwi Marae 24 – 26 November.

TPO

(Rebecca)

- Otago Youth Wellness Centre – changes to legislation for young people in care and how they connect with agencies. Being part of kōrero at a tertiary level has been beneficial.

CONTACT REPORT

Mark Forbes was acknowledged for his mahi in adjusting the statistic report to meet the needs of Te Punaka Ōwheo tracking requirements.

- Kōrero at HOS meetings around early intervention for taura who are struggling to meet requirements and simplifying the process.
- Withdrawals – further work defining the level of information to show in our statistic reporting is ongoing.

Questions:

- What is the proportion of Māori students that access TPO?
- Is there an existing framework around the multi-level ways of contact?

MĀORI PRE-GRADUATION

We have a sense of the need to address the expectations of tauira and whānau during Māori Pre-grad re: the need to demystify the event in order to encourage greater attendance.

4. GENERAL BUSINESS

a. Learner Capability Framework

Barry Law is continuing to have conversations with staff. Rachel attended and reported it was a good process; learning outcomes were vague initially and now seem to be more improved.

b. WIPCE (Toronto, Canada)

Over the course of three days, there were 1000 presentations and 3000 people in attendance. The trip was hugely valuable for the relationships renewed and established, as well as the opportunity to talk further with partner organisations: CICan (Ottawa), Saskatoon Polytechnic (Saskatoon) and Medicine Hat College (Alberta).

Humber College is returning in June 2018; there has been positive feedback on the content of the course and the impact of the learning provided this year. Are considering including a contingent of staff accompanying the students who will either learn alongside the students or have a standalone experience.

The trip has opened up a different perspective of thinking for the Office – do we change our ‘business as usual’ focus to include/consider business on an international stage, and if so, how would that look and be managed?

Janine and Ron been invited to keynote at the CICan (Colleges and Institutes of Canada) conference in Victoria BC, April 2018.

Director Marc Doesburg (Director Internationalisation) is drafting a strategy (with an indigenous flavour) looking at reducing international relationships down to key players with robust outcomes.

c. Jeanette Wikaira resignation as Mataawaka Representative

Janine acknowledged the valuable contribution Jeanette has made to Komiti as Mataawaka Representative and thanked her for her service.

Whakamutunga/Karakia (Megan)

Closed 2.00pm

Minutes of a Meeting of Te Komiti Kāwanataka



Held at 12.30pm on 21 Rima (Mahuru) 2017, Te Punaka Ōwheo Hui Room

PRESENT: Megan Potiki (Chair)
Kathy Grant
Janine Kapa
Eleanor Murphy

IN ATTENDANCE: Khyla Russell
Marshall Hoffman
Rebecca Williams
Richard Kerr Bell
Shaun Tahau
Simon Kaan
Matt Carter

Debbie Davie (Minutes)

Karakia/Timatanga: Richard Kerr-Bell

Matt Carter introduced

1. APOLOGIES

Chris Morland, Ron Bull, Tessa Thomson.

2. MINUTES

The minutes of the meeting held on 17 Hereturikōkā 2017 were provided.

Recommendation

Megan Potiki / Janine Kapa

That the minutes be approved as a true and correct record of the meeting.

Agreed.

3. MATTERS ARISING

a. Review of MOA with Ngāti Whātua

Review of Memorandum of Agreement (MOA) is still under consideration.

b. Campus Redevelopment

Council have approved next step of Campus Redevelopment – detail design.

A meeting was scheduled to include all relevant engineers from various areas of speciality (group reminded of the importance of including Simon in future meetings and the expertise he brings to the group, ensuring that our voice/vision remains visible and 'top of mind').

- Planning for further meetings in October
- Remodelling the initial concept to fit within budget
- Communicating – consider OP hosting meetings at a time suitable to include all parties

- Relocating of TPO through rebuild – currently consideration is ‘A’ Block (preferable to ‘L’ Block – Art School).

c. Komiti ki Wāho membership (Janine)

TOR for **Komiti Kāwanataka** allows for 12 members; we currently have five filled, therefore have seven vacant.

- Suggestion that taura representation would also add value (consider if Komiti is an appropriate forum; if agreeable, we could use the ‘Co Opt’ membership option).
- Travel costs are significance with membership
- Rūnaka representative; appointments need to be driven by Papatipu Rūnaka using the rūnaka model/process as agreed in the MoU.

The KTO office will write to all four Papatipu Rūnaka asking them to undertake a process of nomination for additional Rūnaka (x2) and Mata Waka (x2) representatives.
All agreed

Komiti Ki Wāho

The Chair and Kaitohutohu have met to discuss the opportunity to access external expertise on an invitation basis as a ‘think tank’ – alongside Komiti Kāwanataka – two or three times a year.

d. Wildlife Hospital

Further planning meetings scheduled. Janine meeting with Phil K and Hoani Langsbury to discuss the relationship between the Wildlife Hospital Trust and local rūnaka/mana whenua.

e. He Toki (Janine)

Te Tapaue have up to 200 EFTs available for Māori Pasifika Trade Training – anticipating up to 46 places at OP in 2018. Mahi continuing to further define pathways staircasing from Certificate to Diploma, definition of ‘what qualifies as a trade’, programme learning and teaching strategies, and developing industry relationships.

f. Pōwhiri (20 February 2018)

In the past, the first-year Pōwhiri has been held at Puketeraki Marae where we have had the option of self-catering. Is this an option at our other Papatipu Marae?

- (Megan) Able to self-cater at Ōtākou (consider for 2019), will make further enquiries and attend in 2018 to get an idea of the process.
- Preparation underway for 2018.

4. EduBits/Micro Credentials (Matt Carter)

Evolving opportunity. OP’s pilot into micro credentials (in collaboration with NZQA and TEC). Small components that when collated can form a qualification or can stand-alone. Based around knowledge and skills – assessed on completion with a detailed badge emailed through to taura.

EduBits for Employers (<https://edubits.nz/>)

Currently working with ITO and other organisations to capture community/industry requirements. Huge potential for new and emerging technologies not embedded into other qualifications, i.e. safe use of drones.

5. Learner Capable Framework (Janine)

Draft framework tabled for further feedback.

Kōrero:

- This version shows growth through from 120 to 360 credit qualifications
- Suggestion of a slight change of wording to further differentiate baseplate indicators under 'Displays Bi-cultural Proficiency in a NZ Context' – 3rd column 'In work Experiences I am able to:
 - **Demonstrate and** understand or **Show and** understand basic concepts of Te Ao Māori...(replacing Understand basic concepts ...)
 - **Articulate and** understand individual responsibilities... (replacing Understand individual responsibilities...)

These changes show a different perspective, taking the learner from '...principles of the Treaty' to '...articles of the Treaty', which shows a deeper understanding and commitment.

KAITOHUTOHU OFFICE REPORT PREPARED FOR KOMITI KĀWANATAKA

Date: 21 Mahuru 2017

MSF Priority 1: Treaty of Waitangi <i>Objective: an effective partnership with Kai Tahu/Māori</i>		
What/When	Who	Outcome/Action
Māori Annual Report	KTO Office	Hard copies and digital versions have been distributed.

MSF Priority 2: Kai Tahu/Māori Leadership/Staffing <i>Objective: attract, support & retain Kai Tahu/Māori staff at all levels within OP</i>		
What/When	Who	Outcome/Action
Acknowledgment of Richard Kerr-Bell	Janine	It is with sadness that we accept Richard's resignation, whilst acknowledging the expertise and wisdom that he brought to the team. We wish him well as he starts the next part of his journey.
Welcome back to Rebecca Swindells	Janine	We welcomed back Rebecca from maternity leave with a celebratory morning tea.

MSF Priority 3: Kai Tahu/Māori Students <i>Objective: have Māori participate & succeed at all levels of learning</i>		
What/When	What/When	What/When
Manaaki Tapoi – Secondary / Tertiary pilot	Andy Kilsby with Kōkiri Training Centre	<ul style="list-style-type: none"> Course conducted over 10-weeks, including four wānaka and some 1:1 tutorials. Concluded 10 Sept, with the final wānaka held in Dunstan. Attendance rate: 90% (12 secondary schools students + 2 AE students) Credits: learners engaged in the course gained between 25 – 30 L2 & L3 credits each Completion: 13 out of the 14 enrolled learners
Poverty issues for taurira Māori	TPO	A report on Student Hardship was considered by the Executive Leadership Team at their meeting on 11 September and a number of recommendations have already been implemented.
At Risk of Not Achieving (ARoNA) project – MoE and TEC	Rebecca	A number of these learners have not been successful at Otago Polytechnic. Advice is being sought from the Ministry of Education about an appropriate way forward.
Campus Development	Rebecca	A project start up meeting was held on 4/5 September for the wider project team to familiarise themselves with the project. This included a site visit of Te Punaka Ōwheo and Poho.
Learner Feedback Survey	Rebecca	A survey has been sent to all Māori learners to get their feedback on Te Punaka Ōwheo and the services we provide. At the time of writing, 62 responses had been received.

Learner Services Design Workshop	Rebecca	The wider Learner Services team had a two-day workshop to discuss the design of their services; TPO was invited to participate.
Staffing		Richard and Chris have had leave over the past month. Rebecca Swindells has returned from maternity leave, Kylie Hohaia has been made permanent and Chris Roy has hopefully been extended until December 2018. Richard Kerr-Bell has also handed in his resignation.
Mental Health	Rebecca and Chris	Rebecca and Chris are part of a wider working group looking at mental health and Otago Polytechnic's response to it.
NZQA Degree Panel	Rebecca	Rebecca presented to the NZQA degree panel for Applied Sciences, discussing student support mechanisms.
Cosy Homes AGM and Youth Transition housing announcement	Rebecca	Rebecca attended both the Cosy Homes AGM and Youth Transition housing announcement
Community Builders	Rebecca	Rebecca is working with others in the community on a hui to be held in November to harness the talents and assets of the community for wider good; Otago Polytechnic will be included.
Social Media workshop	Rebecca	Rebecca attended a very useful workshop on Social Media and has made changes to the Te Punaka Ōwheo Facebook page as a result!
Business as Usual – Pastoral Care/Academic Support	Richard, Rebecca and Chris	Continuing to meet the needs of students daily. There are a number of high and complex needs being worked through and a number of successful wins as well.
TPO Contact Log Report (refer Appendix 1)		

MSF Priority 4: Kai Tahu/Māori Progs <i>Objective: dev quality courses & prog in Te Ao Māori, Te Reo & Māori knowledge in all qual areas.</i>		
What/When	Who	Outcome/Action
Certificate in Mata ā Ao Māori (L4)	Ron	Tauria continue to be on track for completion at the end of the year.
Te Hōkai Nui (2017 Kai Tahu Capable NZ cohort)	Richard/ Eru	Draft MOP chart detailing the latest mix of MTT provision proposed for OP in 2018 via the Te Tapuae o Rehua (TToR) consortia. Kym Hamilton, Project Manager with TToR had entire mix of provision (i.e. all 200 EFTS across the deliverers within the Ngāi Tahu tribal region) loaded up to Workspace by 14 September. It is unlikely that we will have confirmation of our MTT provision until later this year. Key staff involved in this initiative will meet mid-October.
D4LS	Ron	Currently working with integration of knowledge into 10 separate curriculum areas.

EduBits	Ron	Three draft EduBit qualification assessments will be submitted for consultation.
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MSF Priority 5: Inclusive Lrng Environment

Objective: *Kāi Tahu/Te Ao Māori values are understood, recognised & valued within OP's enviro & delivery of progs*

What/When	Who	Outcome/Action
Learner Capability Framework (LCF)	Janine/Ron/Barry Law	Review of Specific Capabilities & Behavioural Indicators template has gone out to Māori staff for final consultation. The template details outcome knowledge expectations over three base level qualification indicators in line with the two competencies (final draft to be tabled).

MSF Priority 6: Research and Māori-centred knowledge-creation

Objective:

1. *engage with & ascertain what research priorities are important to Kāi Tahu/ Māori communities*
2. *undertake research relevant to Kāi Tahu/Māori communities that benefits Kāi Tahu/Māori*
3. *undertake research that links to Kāi Tahu/Māori devt aspirations*
4. *develop a vibrant Māori research culture*

What/When	Who	Outcome/Action
Māori Academic Staff Research Plans	Māori Academic Staff, KTO Office	Contestable Fund approval for limited funding has been received to cover the KTO for: <ul style="list-style-type: none"> • International Conference (CICan, Victoria BC): Indigenous Education • Symposium of Māori Research • Improving Support Services to Māori Learners
SCOPE	KTO Office	Planning underway to organise reviewers. Further articles still expected, therefore the timeline has been pushed out to accommodate inclusion.

Key for who has overall responsibility for these priority areas

	Kaitohutohu Office
	Tumuaki: Te Punaka Ōwheo (Māori Student Success)
	Tumuaki: Whakaako (Curriculum & Capability)
	Tumuaki: Rakahau & Whakaea, (Research & Innovation)

APPENDIX 1: LEARNER ACTIVITY REPORT (Te Punaka Ōwheo)

Kōrero
KTO Office
(Janine)

- MAR – Continue to receive positive external feedback.
- Staff – Richard Kerr–Bell's resignation. Acknowledgment of his expertise and knowledge and the gap he will leave in this team and Capable IWI. We wish him well. His last day is 3 November, Mihi Haere 25 October.

(Rebecca)

- Open TPO session for staff during OP's Staff Development Day was well attended and deemed to be successful.
- Acknowledgment of Richard and the key role he plays within the TPO team.

(Richard)

- Ethics – there has been improvement from applications coming through from Schools, which shows an improved awareness of KTO expectations. Further mahi required with the Auckland team, ensuring their staff are aware of the process.

6. GENERAL BUSINESS

a. Kāi Tahu Months (Megan)

Use of Kāi Tahu names for months and the narrative of mutton birding relevant to our area that lies beneath these names.

Whakamutunga/Karakia (Richard)

Closed 2:35pm

Student Council Meeting

Tuesday 1 August 2017

12.00pm to 1.00pm

G205, Forth Street Dunedin



Present	Jordan Dargaville, BIT Yang Gao (Alex), BEngTech-Civil Grayson Orr, BIT Olufemi Olusina, BIT Gillian Bremner (Council Rep)	Chris Morland, DCE Learner Experience Brayden Murray, Director Learner Services Patricia Quensell, Team Leader Student Success Ronda McLaren, Minutes
Apologies	Luke Baines (Convenor)	

Moodle	Luke and Jordan met with Ray O'Brien (OP Online) to discuss improvements and gain understanding. The Business page in new version is good and easy to navigate. Some variation as Lecturers build themselves. Jordan to seek feedback from Joy Gasson for BIT. <i>Action</i> - Chris will report back to next meeting regarding moving all programmes to new platform over the Christmas break.
Car Parking	Looking to increase parking hours along Forth Street, otherwise status quo.
Surveys	Discussed closing the feedback loop i.e. how do students know their feedback is making a difference. Surveys on lecturers, course content, programmes through less formal and organisational avenues. Need to find a way to make a dynamic process that students see value in. Review questions (what are critical things you need). Useful to map process and timing on wall. <i>Action</i> - invite Oonagh McGirr (DCE Learning and Teaching) to next meeting.
Robertson Library Hours	Chris queried student impact of reducing weekday extended hours 12-30 November to 9pm closure (as opposed to 11pm). Noted library staff finished around 7pm and security guard on site till close. General agreement that students want a warm, quiet space with Wi-Fi access. Noted distance service continues during normal working hours. Acknowledged more communication required around changes to library hours (Student Hub, Digital Signage, etc). <ul style="list-style-type: none"> Robertson Library http://www.otago.ac.nz/library/robertson/hours.htm Central Library http://www.otago.ac.nz/library/hours/ - note reduced hours from 11 November 2017 and closed at weekends Marsh Study Centre http://www.otago.ac.nz/university-union/marsh/
Cyber Security	Ronda to connect Jordan with Steven Turnbull to discuss cyber security concerns.
OP Meetings	Luke and Jordan to discuss Academic Board representation with OPSA. Dates to year end are 22 August, 12 September, 10 October, 14 November (9am-12noon) Ronda will send invitation to Executive Leadership Team.
Next Meeting 5 September	<ol style="list-style-type: none"> Executive Leadership Team / Council feedback Surveys - Oonagh McGirr
Post Meeting	Agenda 5 September – Moodle (Ray O'Brien) 3 October – D4LS and D4SE update (Veronique Olin and Jono Aldridge)

Student Council Meeting

Tuesday 5 September 2017

12.00pm to 1.00pm

G310, Forth Street Dunedin



Present

Luke Baines (Convenor)
Jordan Dargaville, BIT
Grayson Orr, BIT
Olufemi Olusina, BIT
Finn Boyle, BCA

Chris Morland, DCE Learner Experience
Brayden Murray, Director Learner Services
Patricia Quensell, Team Leader Student Success
Ronda McLaren, Minutes
Ray O'Brien, Teaching and Learning (1200-1240)

Apologies

Gillian Bremer

Moodle	<p>Ray provided feedback on matters raised</p> <p><i>Consistency (look and feel)</i> - contributing factors include incremental version changes, stage in D4LS journey and continual improvement driven by feedback. In future plan to upgrade Moodle shells to ensure consistent look and feel as students move through courses and years.</p> <p><i>Quality</i> - have adopted Athabasca University's quality standards to ensure implementation of best practice, eg. removal of placeholder text.</p> <p><i>Template (tabs vs scrolling)</i> - old had less content which made scrolling easy, whereas new courses have much more with support links, advice, etc making scrolling arduous, hence tabs make content more manageable. Will look at concertinas (expand/retract) once released from Moodle (under development).</p> <p><i>Support</i> - have kept support link and added more relevant content.</p> <p><i>Educating Staff (best practice, easy for them)</i> - have undertaken a review of support training for staff and created a new Moodle Design 101 for staff and inclusion in staff induction. Creating more opportunities to support staff. Also a key feature in upcoming staff development day.</p> <p>Ray thanked Student Council for their feedback which enables continuous improvement, in return Luke appreciated Ray and the team's openness to hear and take on feedback.</p> <p>Ray seeking focus group participants to provide feedback on new templates and inform future practice. <i>Action</i> - Luke/Jordan will talk to OPSA, names to rachel.cash@op.ac.nz</p>
Leadership	<p>Luke talked to the Student Council about the layers of leadership a) identifying/notice the issue, b) caring enough to step up and raise the concern, c) be involved in that change. Normal escalation would be Lecturer ⇒ Programme Manager ⇒ Head of School. If you need help, feel you are not being heard, or need to escalate further talk to Luke, Jordan or OPSA.</p>
Staff Awards	<p>Nomination process will be launched in next few days on Student Hub, Digital Signage and OPSA Facebook. Full meeting to be arranged end October to evaluate nominations and select awardees.</p>
Next Meeting	<p>end September - Student Levy combined meeting with OPSA</p> <p>3 October - D4LS and D4SE update (Veronique Olin and Jono Aldridge) - 2018 dates and promotion</p> <p>end October - Student Council Staff Awards Evaluation (full meeting)</p> <p>2018 - Survey's (Oonagh McGirr)</p>

Staff Subcommittee of Council

Thursday 6 July 2017

8.30am – 9.30am

F 215, Mason Centre, Forth Street, Dunedin

Present:	Michelle Watt Kay Lion Jono Aldridge (Chair) Ian Barker	Stuart Terry Jacquie Hayes Barbara Dunn
Apologies:	Philip Ballard Sheena Roy Karole Hogarth	Kim Reay Phil Edwards
Minutes	Paula Petley.	

1. Apologies	Accepted.
2. Minutes of Previous Meeting	Minutes of the June meeting accepted.
3. Matters Arising	<p><u>Student Hardship</u> Brayden and Rebecca Williams looking into this. We also need to involve Student Council in any discussions or initiatives we come up with. It was noted that OPSA have a hardship fund, need to ensure students are aware of it.</p> <p>➤ Action: Ian will talk to Brayden and report back if the SSCC can assist.</p> <p><u>Health and Safety Responsibilities</u> Ian advised he now has a portable device to facilitate machine checks. Ian will check with Phil Edwards who was going to follow up with Andy Westgate.</p> <p><u>Parking</u> - lines have been repainted but still an issue with loss of parks due to the hut. - accessible parks – there are three mobility spaces; user have a different Cardex from the general access ones. There are 45 other parks. - usage - Kay feels the carpark is being used more heavily and would be interested to know if demand has increased. Anecdotally, staff say they need to be here before 8am to get a space, 'first in first served'. It would be interesting to know how many people have been issued with cards.</p> <p>Discussion on availability of pool cars. Campus Services advise that they suggest staff use pool cars for trips during the day but often none are available. There are cars outside the pool that are bookable; it was suggested we compile a list of those with a contact person name.</p> <p>Students also have problems finding car parking.</p>

	<p>The three main issues still need resolution: mobility parks/removal of hut/finding a park if you've paid for the day and have to go out (or look at ways to provide certain alternative transport).</p> <p>➤ Action: Jono will draft an email to Tracey Howell and invite her to an SSCC meeting to discuss future planning for carparks.</p> <p><u>Policies Update</u> SSCC found the update very useful. It is up to the Committee to pick up on any policy changes or select any that we feel need revision.</p> <p><u>AIC</u> A new Quality Manager has been appointed to replace Glenice Mayo, reporting to Liz Stewart.</p> <p>Jono has followed up this issue as raised at previous meetings, the union has been getting involved. AIC is a partnership with FS and OP, with OP programs and systems, and their staff. Union is concerned because they are using OP infrastructure and branding but are working for a different organisation. They have their own values – “The AIC Way”.</p> <p>It was noted that if they are accredited with OP programmes they are deemed to be part of OP; they are also included in our marketing as the Auckland campus.</p> <p>Quality - supposed to be across the board i.e. academic, enrolment, applications, pastoral care etc. It was noted that a lot of our international work has gone to Auckland - applications, marketing; they are now running their own equivalent of English language testing.</p> <p>It was queried why it is that they are part of us in one sense but not in others? Not following our values, not doing our WES, differences to their programmes, assessments.</p> <p>The union point of view is we need to have parity between AIC and OP with staff terms and conditions. Issue of AIC use of 'sessional' (casual) lecturers brings the teaching profession down and erodes negotiation stance for future contracts.</p> <p>➤ Action: Questions to be framed up re: - issues of quality of program delivery - staff conditions - use of services Jono to share document for group to brainstorm and collate issues to determine significance.</p>
4. Council Minutes/Agenda Points to Note	<p>Council agenda (open, contains minutes of previous meeting) is found on the website: https://www.op.ac.nz/about-us/council/council-meetings/</p>

	<p>and also accessible through an alternative path: Insite/About OP/About us/OP Council/Council meetings</p> <p>Jono will continue to put the link to council on SSCC agenda.</p>
5. Progression of Workload Issues	<p>Jono will check with Kathryn van Beek about the results from the work that's been done on this issue and the next steps. People who took part in workshop discussions are wondering about the follow-up.</p> <p>Jono noted another piece of work being done around values, video being put together.</p> <p>Jacque noted the CLC workload is still the same. Mentoring would be helpful. It was commented that while Jo Brady has said we need a safe environment for staff to negotiate workloads with managers, in practice staff approaching managers re their workloads are being 'fobbed off'. Tips have been published in e.g. "Leading News" but these are more about process rather than how to manage the volume of work.</p> <p>The issue is more that we are asking/expecting people to do too much and loading on extra with the various changes, projects like D4LS, D4SE, SLT etc.</p> <p>Ian noted that the loss of administration staff in his department meant more work being put onto technicians. Staff contracts don't acknowledge the increased responsibilities.</p> <p>Next WES survey due out in August.</p> <p>➤ Action: Jono will send out workload paper.</p>
6. Sick Leave Bank Policy	<p>Has been a lot of feedback and discussion, policy in the process of being simplified and will be finalised later this year. Jono has requested SSCC be kept in the loop.</p> <p>Kay noted she got the idea for the Sick Leave Bank from a similar scheme run by the police, and suggested it to Matt Carter – it has been operating in an informal way for a couple of years and people only find out about it by chance. Does not work for people that don't have close contacts here. From a union perspective it is beneficial for members.</p>
7. Mature Aged Workforce Action Plan	<p>Mature workers – there was a staff consultation meeting and a report was produced but seems to have been sidelined somewhere in the handover between Matt and Jan Hudson. Is not on the radar as a high priority. We are unsure as to the next steps.</p> <p>➤ Action: Jono will follow up with Jan Hudson re both the Mature Workers and Sick Leave Bank policies.</p>

8. Any Other Business	<u>Staff Hub Project</u> It was felt a different name is needed for the online Hub to avoid confusion between the physical Hub H1, and the student online Hub portal. EAD were first to use the hub name for a space in their building, it has since been applied to several other things. Rebranding exercise will be occurring for the student and staff hubs.
9. Next Meeting – Agenda Items	3 August. Advise any agenda items to Paula.
Meeting Closed	9.30 am.

ACTIONS SUMMARY

Action	Person	Completion
SCF – Raise with Kris Smith and discuss with Heather Day.	Phil E.	August
H & S reps - send a memo to HOS/HOD/HOC re increased workload	Phil E.	August
Car parking issues – raise with Chris Patchett, Campus Services / talk to Tracey Howell and invite to next meeting	Phil E., Jono	August
SSCC team site – look into accessibility with ISS	Paula	August
OPAIC – discuss how SSCC can support staff	All	August
Student Hardship – talk to Brayden	Ian	August
Workload – send out paper (Consultation feedback)	Jono	August
Sick Leave Bank & Mature Workers policies – check re progress with Jan Hudson	Jono	August

Staff Subcommittee of Council

Thursday 31 August 2017

8.30am – 9.30am

H 134, Mason Centre, Forth Street, Dunedin

Present:	Jono Aldridge (Chair) Ian Barker Sheena Roy Philip Ballard Mary Butler (via Skype for part of meeting)	Kay Lion Michelle Watt Jacquie Hayes Barbara Dunn
Apologies:	Stuart Terry	Karole Hogarth
Minutes	Paula Petley	

1. Apologies	Accepted.
2. Minutes of Previous Meeting	Accepted.
3. Matters Arising	<p>Car parking - Jono has asked Tracy Howell about the ratio of staff to carparks - will get back to us.</p> <p>Campus Development – Jono has proposed SSCC to participate as stakeholders in discussions and planning around the loss of A and L Block carparks. A staff forum was held on planned developments, a very thorough overview.</p> <p>Action: ➤ Jono will follow up whether a communications page can be put together to share the Campus Development Plan.</p>
4. Council Minutes/Agenda Points to Note	<p>Council Updates from “Open” meeting:</p> <p>Council meeting held at Otakou Marae last month, Maori Annual Report discussed. Highlights included the great results achieved through the D4SE (Recruit and Retain) initiative of personally connecting with every student that enrolled.</p> <p>Te Puna Ōwheo - support now available weekends and after hours with student ID.</p> <p>Poho – being used for social support for students.</p> <p>Kaitohutohu has set a target to double Māori staff by 2020 and students by 2025. There will be more emphasis on completion, mentoring and coaching students.</p> <p>EduBits – NZQA excited by this initiative. OP is one of three organisations on the official pilot. EduBits are required to be passed by Academic Board and adhere to our usual quality standards.</p>

	<p>Critical Incident Policy – will be updated, needs to be signed off and implemented. A workshop for CI management training for key staff was held 30 August.</p> <p>Media – OP Facebook page top ranked amongst ITP.</p> <p>Council Policies - Delegations from Council to the Chief Executive and Council Honours Awards Policy were approved 4 August, no changes.</p> <p>There will be no Council meeting 6 October due to staff on the South America Study Tour.</p>
5. Student Hardship Update (Ian Barker)	<p>Ian presented an update of the investigation into student hardship being undertaken by Brayden Murray.</p> <p>Some recommendations have been made to Phil Ker regarding provision of leftover food to students and more promotion of the Student Hardship Fund and other assistance through OPSA.</p> <p>Ian had suggested Manaaki and Eden be run at breakeven with food prices subsequently cheaper. However we are not able to produce the food any cheaper and the operations are already run very lean. It was suggested that leftovers go to our students instead of city foodbanks/food recovery schemes.</p> <p>OPSA have set up a 'food file' for donated food.</p> <p>Action: ➤ Ask OPSA to set up a Food File at L Block and publicise to students.</p> <p>It was commented that one team had donated their team rewards to OPSA.</p>
6. Workload Issues Response	<p>Memo from the SSCC was sent to Kathryn van Beek and acknowledged. A follow-up meeting of the workload group has been held. Further update at next meeting.</p>
8. AIC Issues	<p>Discussion on IELTS requirements lowered by AIC. The level required for each band should be 6 but has been reduced to 5.5 resulting in students struggling in Grad. Dip programmes.</p>
9. Any Other Business	<p><u>Policies</u> Some minor changes to management policies were notified on Insite.</p> <p><u>Sustainability</u> Discussed at this week's Leadership Council meeting. Looking at how OP can take a regenerative strategic approach, focus on modelling sustainability, share best practice and create networking around sustainability. Phil Ker believes OP could do more in this space.</p> <p>Some suggestions: - become a net exporter of electricity</p>

	<ul style="list-style-type: none"> - charging stations set up in Dunedin and Cromwell for electric vehicles - look at ways to turn waste streams into assets <p>We need to embrace the idea of kaitiaki - 'guardian' of resources – ensuring we have processes and practices for looking after the environment.</p> <p>Kay suggested we look at other aspects of sustainability and not focus just on environment. Sustainability of people, workload, wellbeing, communities, sustainable work lives.</p> <p>Economics seems to be more of a focus – it was commented that some energy saving suggestions put forward by staff had not been adopted and that some features had been culled from the student village due to budget.</p> <p><u>Student Retention</u></p> <p>Discussion on achievement of Māori students. A lot of effort has gone into recruitment and the numbers are coming in but are not being retained. Need to look at how to get all students successfully through to the end of their programme. Many don't make it through the first year. Some students are not prepared for tertiary study. Clear strategies need to be put in place to help them. Counterproductive to set graduate targets but not put the effort in at the 'front end'. Physical spaces have been developed but more staff resources to support students is needed.</p> <p>Jacquie mentioned her work at the prison and the positive change in people when they learn something. Many intend to go on to further study.</p> <p>Discussion on the learners who are not equipped to study. Kay noted that if we retain them for one year, they tend to stay.</p> <p>A lot of staff time spent on pastoral care. Students often make appointments with the HOS or Student Success and don't turn up. The D4SE (Recruit and Retain) project looked at existing data around retention, specifically at engagement - whether students had logged on to our online systems (Moodle, email), or had requested a student ID card, and whether students had been marked absent which initiated a report for Student Success to follow up.</p> <p>Recruitment will get students through the door but does not help students having problems in the first weeks of their programme. This has a negative effect on retention statistics and KPIs.</p> <p>Discussion on support needed for the first few weeks of a course. Issues include:</p> <ul style="list-style-type: none"> - students choosing the right course – timeline too short, less than two weeks to decide if the course is right for them - time- and self-management - how to do a test, exam, or assessment - mental health - problems in the home environment - general unpreparedness for the routine/discipline of study
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	<p>Students are being set up for failure, costs them a lot of money.</p> <p>It was commented that open entry is a problem but not a lot we can do about that as it is government policy.</p> <p>D4SE will focus on students who don't show at the start or who drop out in the first year. Project on-going but have been no further updates.</p> <p>Jono will update SSCC on any further discussion on retention, from the D4SE perspective.</p>
10. Next Meeting – Agenda Items	5 October 2017.
Meeting Closed	9.35 am.

ACTIONS SUMMARY

Action	Person	Completion
Campus Development – enquire re communications	Jono	October
Student Food File – ask OPSA to set one up at L Block	Jono/lan	October

Council Closed Agenda



Meeting to be held: 9.15am 3 November 2017
(Council only at 9.00am)
Puna Kawa, Level 2, Mason Centre, Otago Polytechnic,
Forth Street, Dunedin

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.-

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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
Minutes of the closed section of the Council meeting held on 1 September 2017 (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))	48 (a)
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))		
Budget 2018 (Reason (i))		
Finance Reports (Reason (i))		
Safety and Wellbeing Report (Reason (i))		
Governance Risk Management Framework (Reason (i))		
Matters for Noting (Reason (i))		
Additional Agenda Items (Reason (i))		