



Otago Polytechnic Limited

BOARD PACK

for

Otago Polytechnic Limited (The Company) Meeting of the Board (Open)

Thursday, 18 November 2021

1:15 pm

Held at:

Puna Kawa

Level 2, Mason Centre
Otago Polytechnic
Forth Street
Dunedin

INDEX

Cover Page

Index

Agenda

Attached Documents:

1.1 a	Karakia Timatanga (to open).docx.....	7
1.3 a	Board Interests Register cover.docx.....	8
1.3 b	Board Interests Register.docx.....	9
1.4 a	Minutes cover. docx.docx.....	12
1.4 b	Minutes : Otago Polytechnic Limited (The Company) Meeting of the Board (Open) - 19 C	13
1.5 a	Actions - Open.docx.....	16
2.1 a	CE 18 November.docx.....	17
2.1 b	Media report for Board Nov 2021.docx.....	19
3.1 a	Board Calendar cover.docx.....	23
3.1 b	Board Calendar.docx.....	24
3.1 c	Student Showcase - Events checklist.pdf.....	26
3.2 a	ELT Interests Register cover.docx.....	27
3.2 b	ELT Interest Register.docx.....	28
3.3 a	Staff Committee.docx.....	30
3.3 b	Staff Subcommittee Terms of Reference 2021 Final.docx.....	31
3.4 a	Student Forum cover.docx.....	33
3.5 a	Komiti Kawanataka.docx.....	34
3.5 b	Points of Note for OP Board - Komiti Kāwanataka Nov 2021 MPJKKT.pdf.....	35
3.6 a	Policies cover.docx.....	37
3.6 b	2021-11-11 Board - Delegations from the Board to the Chief Executive and Authorities a	38
3.6 c	Delegations from the Board Appendix 1 - Te Pūkenga Subsidiaries Governance Framew	40

3.6 d	2021-11-11 Appendix 2 - Delegations summary V2 minor amendments.xlsx.pdf.....	51
3.6 e	Board - Delegations from the Board Appendix 3 - delegated authority change form (1) (2)	57
3.6 f	2021-11-11 Board - Procurement and Purchasing Te Pūkenga Aligned V2 minor amendr	58
3.6 g	2021-11-11 Board - Purchasing and Credit Cards Cards V2 minor amendment.docx.....	63
3.6 h	2021-11-11 Board Policy - Conflicts of Interest V2 minor amendment.docx.....	67
3.6 i	2021-11-11 Board Policy - Sensitive Expenditure V2 minor amendment.docx.....	71

AGENDA



OTAGO POLYTECHNIC LIMITED (THE COMPANY) MEETING OF THE BOARD (OPEN)

Name:	Otago Polytechnic Limited
Date:	Thursday, 18 November 2021
Time:	1:15 pm to 1:45 pm
Location:	Puna Kawa, Level 2, Mason Centre Otago Polytechnic Forth Street Dunedin
Board Members:	Adam La Hood (Chair), Paul Allison, Mike Collins, Karen Coutts, Maryann Geddes, Justin Lester, Megan Potiki, Kare Tipa
Guests:	In Attendance: Jeanette Corson (Company Secretary), Philip Cullen (Deputy Chief Executive Corporate Services), Megan Gibbons (Chief Executive), Janine Kapa (Deputy Chief Executive Māori Development/Kaitohutohu), Ezra Tamati (Convenor, Student Committee), Phil Osborne (Convenor, Staff Committee), Laura Warren (Deputy Chief Executive, People, Culture and Safety), Chris Williamson (Deputy Chief Executive, Learner Experience)
Notes:	12.15pm Board only

1. PROCEDURAL

1.1 Karakia

Supporting Documents:

1.1.a	Karakia Timatanga (to open).docx	7
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1.2 Welcome/Apologies/Notices

1.3 Conflicts of Interest

Supporting Documents:

1.3.a	Board Interests Register cover.docx	8
1.3.b	Board Interests Register.docx	9

1.4 Confirm Minutes

Supporting Documents:

1.4.a	Minutes cover. docx.docx	12
1.4.b	Minutes : Otago Polytechnic Limited (The Company) Meeting of the Board (Open) - 19 Oct 2021	13

1.5 Actions/Matters Arising

Supporting Documents:

1.5.a	Actions - Open.docx	16
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2. REPORTS

2.1 Chief Executive

Supporting Documents:

2.1.a	CE 18 November.docx	17
2.1.b	Media report for Board Nov 2021.docx	19

3. MATTERS FOR NOTING

3.1 Board Calendar

Supporting Documents:

3.1.a	Board Calendar cover.docx	23
3.1.b	Board Calendar.docx	24
3.1.c	Student Showcase - Events checklist.pdf	26

3.2 Executive Leadership Team Interests Register

Supporting Documents:

3.2.a	ELT Interests Register cover.docx	27
3.2.b	ELT Interest Register.docx	28

3.3 Staff Committee

Supporting Documents:

3.3.a	Staff Committee.docx	30
3.3.b	Staff Subcommittee Terms of Reference 2021 Final.docx	31

3.4 Student Committee

Supporting Documents:

3.4.a	Student Forum cover.docx	33
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3.5 Komiti Kawanataka

Supporting Documents:

3.5.a	Komiti Kawanataka.docx	34
3.5.b	Points of Note for OP Board - Komiti Kāwanataka Nov 2021 MPJKKT.pdf	35

3.6 Policies

Supporting Documents:

3.6.a	Policies cover.docx	37
3.6.b	2021-11-11 Board - Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from Chief Executive V2 minor amendment.docx	38

Supporting Documents:

3.6.c	Delegations from the Board Appendix 1 - Te Pūkenga Subsidiaries Governance Framework Summary (March 2021).pdf	40
3.6.d	2021-11-11 Appendix 2 - Delegations summary V2 minor amendments.xlsx.pdf	51
3.6.e	Board - Delegations from the Board Appendix 3 - delegated authority change form (1) (2).pdf	57
3.6.f	2021-11-11 Board - Procurement and Purchasing Te Pūkenga Aligned V2 minor amendment.docx	58
3.6.g	2021-11-11 Board - Purchasing and Credit Cards Cards V2 minor amendment.docx	63
3.6.h	2021-11-11 Board Policy - Conflicts of Interest V2 minor amendment.docx	67
3.6.i	2021-11-11 Board Policy - Sensitive Expenditure V2 minor amendment.docx	71

4. MEETING CLOSED

4.1 Meeting Closed

Next meeting: Otago Polytechnic Limited (The Company) Meeting of the Board (Open) - 17 Feb 2022, 12:45 pm

Karakia Timatanga

Whakataka te hau kit e uru

Cease the winds from the west

Whakataka te hau ki te tonga

Cease the winds from the south

Kia mākinakina ki uta

Let the breeze blow over the land

Kia mātaratara ki tai

Let the breeze blow over the ocean

E hī aki ana te atakura

*Let the red-tipped dawn come with a
sharpened air.*

He tio, he huka, he hau hū

A touch of frost, a promise of a glorious day

Tihei mauri ora!

OTAGO POLYTECHNIC LIMITED	
BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: CONFLICT OF INTEREST	
<p>PURPOSE:</p> <p>Board 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.</p> <p>Attached is a register of Board members' interests. Any changes must be advised to Jeanette Corson.</p>	
<p>RECOMMENDATION</p> <p>For noting.</p>	

INTERESTS REGISTER

Board Member	Updated	Interest Disclosed	Nature of Potential Interest with the Otago Polytechnic
Paul Allison	19-07-2021	<ol style="list-style-type: none"> 1. Life Trustee – Halberg Disability Sport Foundation 2. Independent Contractor – NZME 3. Chair – University bookshop (Otago) Ltd 4. Chair – ORFU Board Appointment Panel 5. Independent Chair - Infinite Energy (design and installation of solar power) 6. South Island Regional Grants Committee – The Lion Foundation 7. Independent Consultant - Impact Consulting 8. Director, Central Otago Health Services Ltd 9. Director – Highlanders GP Ltd 	<ul style="list-style-type: none"> • 1,2,4,8,9 - Nil • 3,5,7- Potential supplier • 6 – Potential funder
Michael Collins	16-11-2020	<ol style="list-style-type: none"> 1. Member Dunedin Centre of Digital Excellence (CODE) Steering Group 2. Chair IT Governance Group (SDHB) 3. Chair Health and Safety Executive Governance Committee (SDHB) 4. Board Member St Hilda's Board of Proprietors 5. Member Finance, Audit & Risk Exec Member (SDHB) 6. Advisor New Dunedin Hospital Southern Partnership Group (SPG) 7. Deputy Chair South Island Chief Digital and CIO Leads 8. Member National DHB CIO Leads 9. Otago Polytechnic Capable NZ Assessor 10. Chair Environmental Sustainability Committee (SDHB) 11. Staff member Southern District Health Board 12. Chair, CapableNZ Permanent External Advisory Committee 13. Member, Otago Regional Skills Leaders Group 	<ol style="list-style-type: none"> 1. Collaborative Partner with OP 2. Nil 3. Nil 4. Nil 5. Nil 6. Nil 7. Nil 8. Nil 9. Contractor to OP 10. Nil 11. Nil 12. Committee Chair 13. Nil

			Polytechnic
Karen Coutts	02-04-2020	<ol style="list-style-type: none"> 1. Transparency International NZ, Board Member 2. Treasurer, Te Runanga o Moeraki 3. Member, New Zealand Parole Board 4. Kaiwhakahaere, Ngai Tahu ki Te Whanganui-a-Tara taurahere roopu 5. Director, KDC & Assocs Ltd 6. Director, KBDRC Ltd 7. Chair, Life Unlimited Trust 8. HSNO Committee Member, Environmental Protection Authority 9. Te Wai Pounamu Executive Committee Member, Federation of Māori Authorities 10. Co-Chair, MBIE RSLG, Otago Region 	
Maryann Geddes	19-04-2021	<ol style="list-style-type: none"> 1. Te Pūkenga - Council Member 2. Southern Institute of Technology - Director 3. ARA - Director 4. Service IQ- Director 5. Work Based Learning = Director 	
Adam La Hood	02-04-2020	<ol style="list-style-type: none"> 1. Director – Dunedin Venues Management Ltd 2. Chief Financial Officer – Cook Brothers Construction 	<ol style="list-style-type: none"> 1. Collaborative Partner with OP 2. Contractor to OP
Justin Lester	28/08/2021	<ol style="list-style-type: none"> 1. Chair – Storbie Ltd 2. Director – Kapai New Zealand Ltd 3. Director – Welcome Home Ltd 4. Chair – Good Bitches Baking 5. Shareholder/Director – Dot Loves Data 6. Ambassador – Simplicity Kiwisaver 7. Director - LCB Management NZ Limited 8. Director - WelTec Student Accommodation Limited 9. Director - Whitireia New Zealand Limited 10. Director - WelTec Enterprises Limited 11. Director - Ripponvale Orchards 	<p>Nil</p> <p>Nil</p> <p>Nil</p> <p>Nil</p> <p>Potential supplier</p> <p>Potential supplier</p> <p>Nil</p> <p>Nil</p> <p>Nil</p> <p>Nil</p>

		12. Advisory Board - Aro Digital 13. Advisory Board - Dignity 14. Board Member - Regional Skills Leadership Group, Wellington	Nil Nil Nil
Megan Potiki	20/07/2021	1. Member of Te Runanga o Ōtākou 2. Employee of the University of Otago 3. Contractor - Aukaha Ltd 4. Governor - A3K Limited 5. Academic Mentor Capable NZ	3 and 4 potential suppliers
Kare Tipa	17/08/2021	1. Member of Te Rūnaka o Moeraki 2. Employee of the University of Otago	

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: MINUTES	
PURPOSE: The minutes of the open section of the Board meeting held on 19 October 2021 are attached.	
PRESENTED BY: Adam La Hood	
RECOMMENDATION: That the Board approves the minutes as a true and correct record of the open section of the meeting held on 19 October 2021.	

MINUTES (in Review)



OTAGO POLYTECHNIC LIMITED (THE COMPANY) MEETING OF THE BOARD (OPEN)

Name:	Otago Polytechnic Limited
Date:	Tuesday, 19 October 2021
Time:	1:00 pm to 1:25 pm
Location:	Puna Kawa or via Teams, Level 2, Mason Centre, Otago Polytechnic
Board Members:	Adam La Hood (Chair), Paul Allison, Karen Coutts, Maryann Geddes, Justin Lester, Megan Potiki
Apologies:	Mike Collins, Kare Tipa
Guests/Notes:	In Attendance: Jeanette Corson (Company Secretary), Philip Cullen (Deputy Chief Executive Corporate Services), Megan Gibbons (Chief Executive)

1. PROCEDURAL

1.1 Karakia

The meeting opened with a karakia.

1.2 Welcome/Apologies/Notices

Apologies had been received from Mike Collins and Kare Tipa.

1.3 Conflicts of Interest

No interests were declared in relation to the open agenda.

1.4 Confirm Minutes

Otago Polytechnic Limited (The Company) Meeting of the Board (Open) 23 Sep 2021, the minutes were confirmed as presented.

RECOMMENDATION

Justin Lester/Karen Coutts

That the minutes of the open section of the Board meeting held on 23 September 2021 be approved as a true and correct record.

AGREED.

1.5 Matters Arising/Actions

- Bicultural competency training scheduled for 17 February, 2022
- Tour of Wildlife Hospital to occur early in 2022
- Information regarding the Otago Disabled Students' Association had been provided in the Chief Executive's report.

2. REPORTS

2.1 Chief Executive

Dr Gibbons' report covered the following items:

- Information regarding the Otago Disabled Students' Association
- Good News
 - Chris Williamson appointed Manukura Tuarua - Ara Auaahataka, Deputy Chief Executive - Academic Delivery
 - Support of Super Saturday to encourage learners and staff to get vaccinated
 - Visa Award for Otago Polytechnic graduate Holly Robinson - meaning she now has \$NZ\$70,035 to donate to the charity of her choice, Ronald McDonald House, South Island
 - Health and wellbeing staff hub launched during Mental Health Awareness week
- External Liaison
- Summarised Finance Report for the period ended 30 September 2021
- Hardship fund

A further \$135k had been allocated by the Government. A total of \$250k had been distributed to students suffering from hardship this year.

3. MATTERS FOR NOTING

3.1 Board Calendar

The Board Calendar was discussed with the following noted:

- Additional Board meeting 9 or 16 December to be determined through a Doodle Poll
- Bicultural competency training 17 February
- Audit and Risk Committee 22 November
- Graduation 17 December. A decision is to be made following the Prime Minister's announcement on Friday. An option under current alert levels is to hold the event at the Stadium.
- Dedicated day to discuss the educational aspirations of mana whenua with Rūnaka to occur on 9 March 2022
- Student showcases had been included. Consideration was being given as to how to hold these events given the current alert levels.

3.2 Executive Leadership Team Interests Register

Noted.

3.3 Staff Committee

Key points from the Staff Committee meeting held on 23 September 2021 were noted.

3.4 Academic Committee

Key points from the Academic Committee meeting held on 14 September were noted.

3.5 Komiti Kawanataka

Key points from the Komiti Kawanataka meeting held on 7 October 2021 were noted.

4. MEETING CLOSED

4.1 Meeting Closed

Next meeting: Otago Polytechnic Limited (The Company) Meeting of the Board (Open) - 18 Nov 2021, 1:15 pm

Signature:_____

Date:_____

ACTION SHEET - OPEN			
Date	Action	Responsibility	Due date
22-04-2021	Board to undertake bicultural competency training	All	17-02-2022
22-07-2021	Tour of Wildlife Hospital	Jeanette Corson	2022

OTAGO POLYTECHNIC LIMITED	
BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: CHIEF EXECUTIVE'S REPORT	
PRESENTED BY: Dr Megan Gibbons	

Student Showcase

This year's showcase events cover nine discipline areas including

Bachelor of Applied Science	Year 3 Student Projects
Bachelor of Design (Communication and Product Design)	Graduate Exhibition
Bachelor of Design (Fashion)	Graduate Fashion Show Collections 2021
Bachelor of Visual Arts	SITE Exhibition at Dunedin School of Art
Bachelor of Information Technology	Student Projects
Bachelor of Architectural Studies	Student Showcase
Bachelor of Engineering Technology and NZ Diploma in Engineering	Student Projects Engineering Technology Showcase
Carpentry Programmes	Charity House
Horticulture Programmes	Plant Sale

Central Otago Leadership

Jason Barry has accepted the role of Acting Campus Manager at the Cromwell Campus. This role will report to Liz McKenzie, Head of College Work Based Learning. This is a temporary solution to allow time for alignment with Te Pūkenga's operational and organisational model going forward.

External Liaison (since last meeting)

- OPAIC Board Meeting
- Te Pūkenga CEs' meeting re proposed operating model x 2
- Te Pūkenga CEs' meeting
- Te Pūkenga Subsidiary Chairs' and CEs' meeting
- Re-signing of MoU with Otago Museum
- Adult Education Awards Ceremony
- DCC Economic Development Committee
- Stephen Town, CE Te Pūkenga
- OPAIC/Te Pūkenga

Media Report

Attached is a summary of Otago Polytechnic's external media activity.

Summarised Finance Report for the period ended 31 October 2021

The following table provides an overview of Otago Polytechnic's 2021 financial performance to date and compares this against the forecast with variances.

October 2021	2021 Year to Date Actual	2021 Year to Date Forecast	Variance
	(\$000s)	(\$000s)	(\$000s)
Revenue	\$ 95,550	\$ 92,599	\$ 2,951
Expenditure	\$ 83,360	\$ 84,800	\$ 1,440
Net Surplus before extraordinary income	\$ 12,191	\$ 7,799	\$ 4,391
Extraordinary Income	\$ 6,123	\$ 7,050	\$ (927)
Net Surplus	\$ 18,314	\$ 14,849	\$ 3,465
Capital Expenditure	\$ 8,216	\$ 7,659	\$ (557)
Employment Cost as a percentage of revenue	51.2%	53.7%	2.4%
Student Fees as a % of revenue	35.8%	36.9%	1.1%
Government Funding as a % of revenue	53.9%	53.6%	(0.3)%
Working Capital	64.8%	55.7%	9.2%
Cash In/Cash Out	125.4%	115.1%	10.3%
Net Monetary Assets (000's)	\$ (2,280)	\$ (8,511)	\$ 6,231
Debt / Equity Ratio	15.2%	17.6%	2.4%
EFTS	5,625.1	5,456.9	168.2

Key Points:

- The net operating surplus before extraordinary income of \$12,191k is favourable to forecast by \$4,391k, due to EFTS being ahead of budget and reduced spending across most areas.
- Capex is higher than forecast by a net \$557k due to timing of the shovel ready building project.
- Net Monetary Assets are currently favourable by \$6,231k. This is a combination of the flow on effect of a favourable surplus along with reduced receivables balances.
- EFTS enrolments of 5,625 are favourable to YTD forecast by 168. There are additional enrolments across multiple programmes.

Dr Megan Gibbons
Tumu Whakarae/Chief Executive



A summary of Otago Polytechnic external media activity, 9 October-9 November 2021. Produced by Shane Gilchrist, Senior Communications Advisor.

OP Website:

There were more than 218K page views in the past month. New website visitors comprised approx. 37% of traffic (the remainder were returning visitors); the average time spent per view was 2min 17sec.

Facebook:

Social Media activity and engagement across all channels continues to be strong. Facebook followers now 15.6K.

Instagram

4K followers; reflecting strong numbers on this channel.

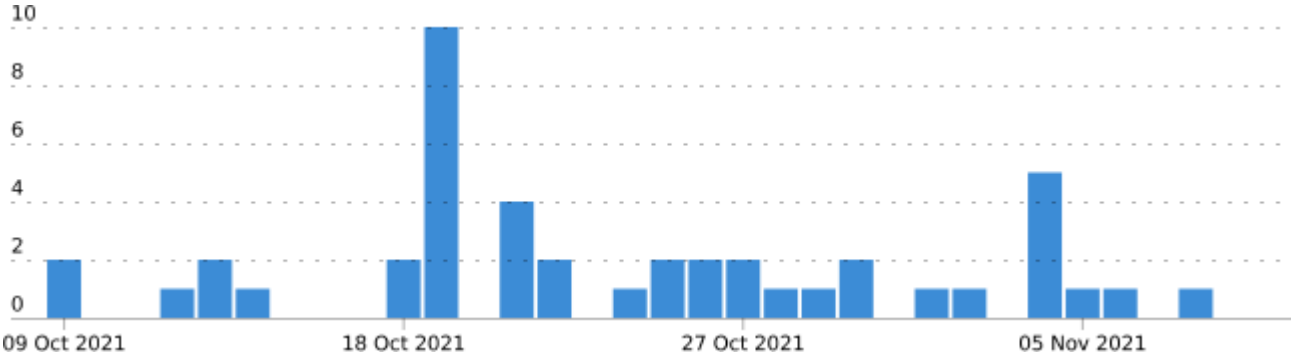
LinkedIn

Otago Polytechnic's main LinkedIn page has 16K followers, reflecting strong numbers on this channel.

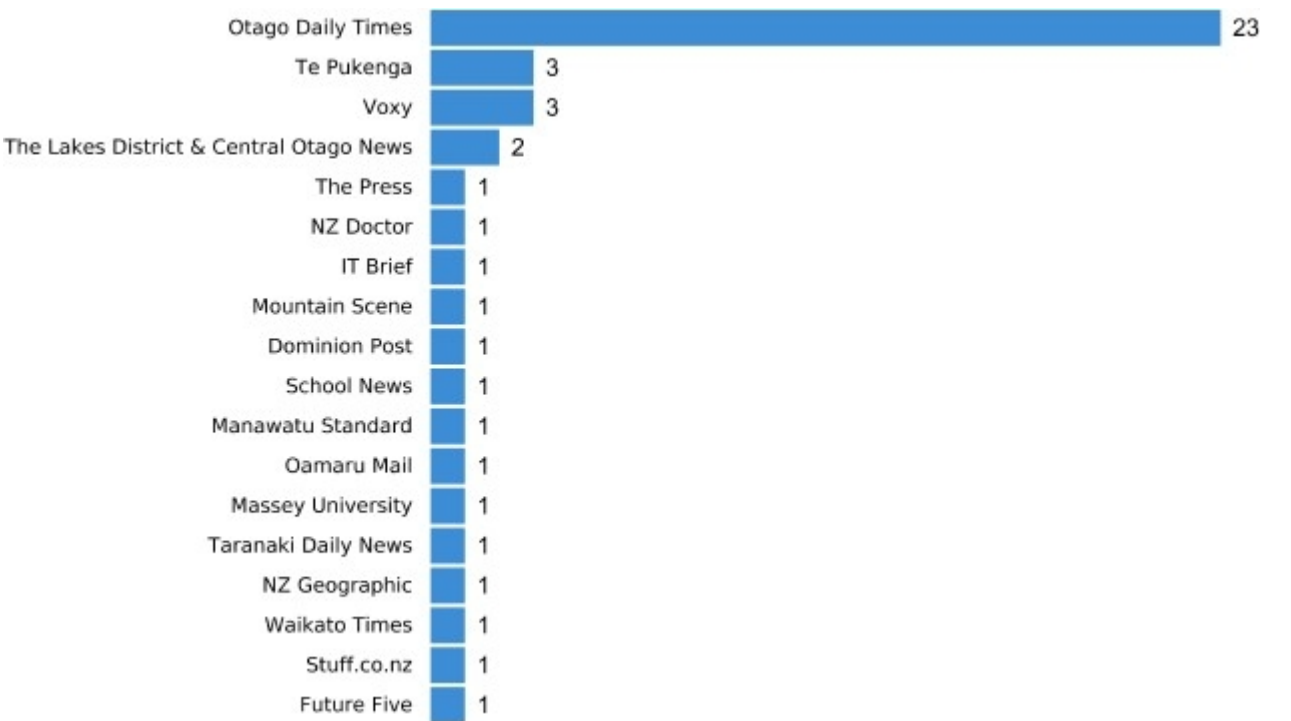
External media coverage:

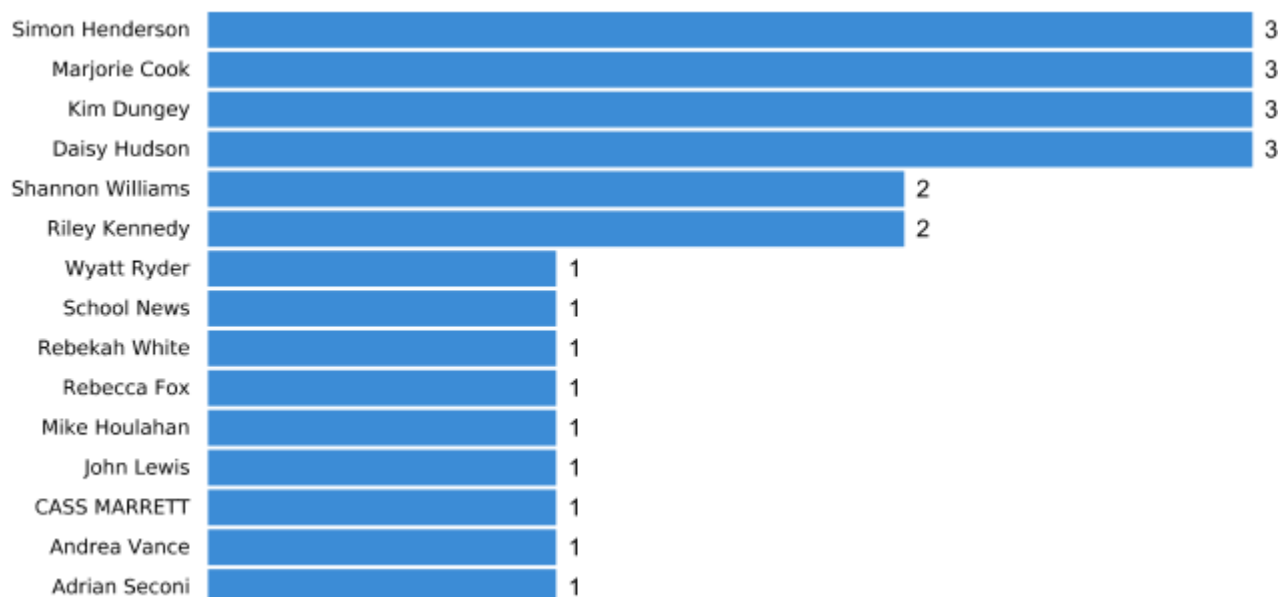
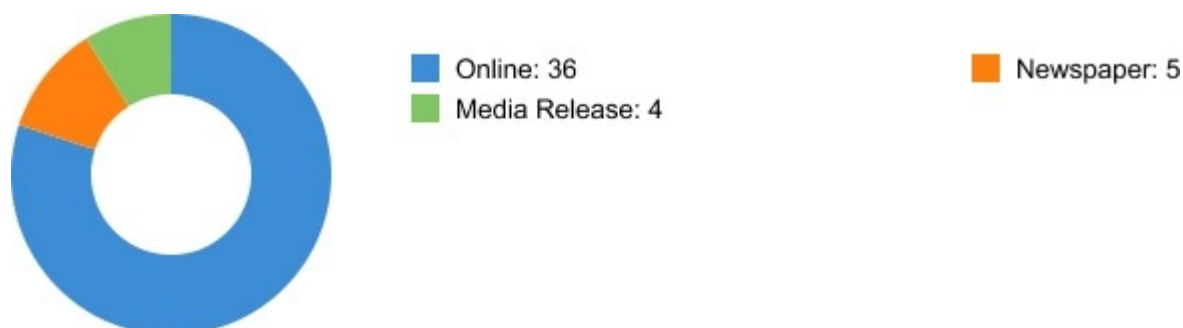
NOTE: As of 1 September, Otago Polytechnic has been using a new media monitoring platform (Fuseworks). This is a result of negotiations with Te Pūkenga, which has encouraged a network-wide approach to media monitoring. However, this has resulted in a slightly new look to media reports.

Volume:



Sources:



Key authors:**Content Types:****Examples of coverage:****Polytechnic postpones graduation, university unsure**

Otago Polytechnic has postponed its end of year graduation due to Covid-19 restrictions. Polytechnic chief executive Dr Megan Gibbons yesterday said its December ceremony had been postponed until March.

Otago Polytechnic learners 'mix sport and exercise with community-spirited projects'

Otago Polytechnic's annual Student Showcase kicks off on Friday, 5 November, with an "in-house" event at our Institute of Sport, Exercise and Health.

Vaccine mandates weighed at campuses

Otago Polytechnic was also still awaiting advice from the Government. Chief executive Dr Megan Gibbons said it was not limiting access to campus based on vaccination status, and not generally asking staff or students to declare their vaccination status.

Adult learning achievements recognised with awards

A range of tertiary educators and students were recognised this week at the Festival of Adult Learning awards ceremony held at the *Otago Polytechnic* Hub in Dunedin. The event, hosted by Adult and Community Education (Ace) and *Otago Polytechnic*, was part of the nationwide Festival of Adult Learning 2021, which aims to shine a light on academic paths both challenging and empowering.

Te Pukenga model pleases Otago Polytech

Otago Polytechnic has welcomed the proposed model it will operate under when Te Pukenga takes over the country's 16 technology institutes and polytechnics. Otago Polytechnic chief executive Dr Megan Gibbons welcomed the proposed operating model.

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: BOARD CALENDAR	
PURPOSE: Attached for noting is the Board calendar.	

BOARD CALENDAR 2021/22

Meeting/Event	Nov	Dec	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Annual Report Sign off				24 Mar							
Budget											
Board Meeting	18 Nov	16 Dec	17 Feb	24 Mar	21 April	19 May	23 June	21 July	18 Aug	22 Sept	20 Oct
ELT, Student and Staff convenors to attend	18 Nov		17 Feb			19 May				22 Sept	
Fees Set											
International											
Domestic										22 Sept	
Strategy Review											
Audit and Risk Committee	22 Nov										
Graduation				10/11 Mar							
Maori Pre-Grad				9 Mar							
Pasifika Pre-Grad				8 Mar							
AIC Graduation			28 Feb								17 Oct
Komiti Kawanataka Thurs at 12.30pm	4 Nov	2 Dec	3 Feb	3 Mar	7 April	5 May	2 June	7 July	4 Aug	1 Sept	6 Oct

Meeting/Event	Nov	Dec	Feb	Mar	April	May	June	July	Aug	Sept	Oct
Performance Review Committee											
Health and Safety Committee		6 Dec	7 Feb		4 April		13 June		1 Aug		3 Oct
OP Events											
- Student Showcases	5 – 22 Nov Details attached										
All staff meeting			10 Feb								
- Awards Distinguished Alumni TBA											
Long Service Staff			10 Feb								
- Christmas Function		3 Dec									

Student Showcase Checklist						
	Programme	Name of Event	Date	Contact	Location	Event Description
2	Communications Design	Debrief Design Student Graduate Exhibition	Wed, 17 November 2021,	Lucy Richardson	The Hub	Exhibition Open
			Thursday 18 November, Session 1: 5 - 6 pm Session 2: 6:30 - 7:30 pm			Opening Night
			Friday, 19 November 10AM-4PM			Exhibition Open
			Saturday, 20 November 10AM-4PM			
			Sunday, 21 November 10AM-4PM			
3	Fashion	Collections 21 Graduate Fashion Show	Friday 19 November Session #1: 5:30pm Session #2: 8pm	Tracy Kennedy	The Hub	Fashion Show Video
4	Dunedin School of Art	SITE 2021 (open doors)	Friday, 19 November 5:30pm - 7.30pm	Marion Wassenaar	Dunedin School of Art	Opening Night - Completing Students Exhibition
			Saturday, 20 November 10AM-4PM			Completing Students Exhibition
			Monday, 22 November 10AM-4PM			Completing Students Exhibition
5	Horticulture	Plant Sale	Saturday, 20 November from 9.30am - 1.30pm (Garden tour 12 noon)	Lisa Burton	Front Driveway, L Block, Anzac Ave	Plant sale, permaculture plant forage tour, tree climbing for kids
6	Information Technology	Information Technology Showcase	Friday, 19 November - 5pm - 8pm	Bronwyn Tuxford, Rob Broadley	D block, 2nd floor	A Showcase of student work from within the Information Technology Programmes
7	Architectural Studies	Architectural Studies	Thursday, 18 November 2021, start at 5.30PM	Tobias Danielmeier	Ōwheo Building, 115 Anzac Avenue, Dunedin 9016 (O Block)	Behold the innovative concepts and work of our Architectural Studies graduates in this exhibition of plans, models, and highlights from 2021.
			Friday, 19 November 9AM-4PM			
			Saturday, 20 November 10AM-2PM			
			Monday, 22 November 9AM-4PM			
			Tuesday, 23 November 9AM-4PM			
			Wednesday, 24 November 9AM-4PM			
8	Engineering Technology	Engineering Technology	Thursday, 25 November 9AM-4PM	Adrian Tetlow / Adam Liberatore	THE HUB	An opening night one event. Thursday 25 November 5:45 - 7 pm
			Tuesday, 23 November 2021			
			Wednesday, 24 November 2021			
			Thursday, 25 November 2021, start at 5.30PM			
			Friday, 26 November 2021			
			Saturday, 27 November 2021			
9	Construction	Charity House	Sunday, 28 November 2021	Andy Kilsby / Andrea Hessian	Auction date 20 Nov	Open house on Thursdays and Sundays and Auction on Saturday 20 Nov
			Monday, 29 November 2021			
			Thursday 21 October, 5.00-5.30pm			
			Sunday 24 October, 1.00-2.00pm			
			Thursday 28 October, 5.00-5.30pm			
			Sunday 31 October, 1.00-2.00pm			
			Thursday 4 November, 5.00-5.30pm			
			Sunday 7 November, 1.00-2.00pm			
			Thursday 11 November, 5.00-5.30pm			
			Sunday 14 November, 1.00-2.00pm			
			Thursday 18 November, 5.00-5.30pm			
			Saturday 20 November - Auction at 12			

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: EXECUTIVE LEADERSHIP TEAM INTERESTS REGISTER	
PURPOSE: The Executive Leadership Team Interests Register is attached for noting.	



OTAGO POLYTECHNIC INTERESTS REGISTER – EXECUTIVE LEADERSHIP TEAM

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

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
1 February 2019	Philip Cullen	Cliffs Road Trading Board Member: <ul style="list-style-type: none"> OP Auckland International Campus Ltd Otago Polytechnic Education Foundation Open Education Resource Universitas 	Potential only		
20 November 2020	Megan Gibbons	Otago Boys High School Board of Trustees Judge Otago Sports Awards Board member: <ul style="list-style-type: none"> Wildlife Hospital Open Education Resource Foundation University Otago Polytechnic Auckland International Campus TANZ eCampus 	OP is a sponsor		Ensure I am not involved if either of these organisations were in discussion with OP OP award chosen by Sport Otago and not judged on by judges

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
21 April 2020	Janine Kapa	Board Member: – A3 Kaitiaki Ltd (Chair) – Kōkiri Training Centre (Chair) – Otago Youth Wellness Trust – KUMA (Southern Māori Business Network) OP representative on Grow Dunedin Partnership Steering Group Member, Kāti Huirapa Rūnaka ki Puketeraki Partner, Kia Māia Bicultural Communications Brayden Murray, Director: Learner Services – partner 6-month 0.6 FTE secondment to Te Pūkenga, effective 1 Oct 2020 – 31 Mar 2021	Potential only Potential for similar clientele Potential only Potential for bias Potential only Potential only Potential supplier Personal interest Potential only	Pecuniary Non-pecuniary Non-pecuniary Non-pecuniary Non-pecuniary Non-pecuniary Pecuniary Both Non-pecuniary	Proceed with: • caution & sensitivity • honesty & integrity • transparency
11 February 2019	Oonagh McGirr	Board Member: – Dunedin Fringe Arts Trust – The Malcam Trust – OERU Board			
20 August 2020	Chris Morland	– SIGNAL ICT Grad School – Board member, Dunedin Bowls Ellen Morland, OP staff member spouse	Possible competitor Personal interest	Pecuniary Both	Transparency OP Policy
19 July 2021	Laura Warren	None			

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: STAFF COMMITTEE	
<p>PURPOSE:</p> <p>A summary of the main points of discussion at the Staff Committee meeting held on 28 October 2021:</p> <ul style="list-style-type: none"> • Sustainability update • A Staff Subcommittee Convenor's blog has been initiated, the first one is on Tuhono • Information about Staff Subcommittee, which is not part of the formal induction for new staff, will be introduced for future inductions • Discussion on the Te Pūkenga Operating Model. Staff are encouraged to consider it from a holistic and future-focused perspective, and to engage with the material and provide feedback. Subcommittee members can assist by advising their teams on where to find summaries and the avenues for providing comments and feedback • Communications to be on the agenda for next meeting • Approval of the final draft of the Terms of Reference for the Staff Committee. <p>RECOMMENDATION</p> <p>That the Board approves the revised Terms of Reference for the Staff Committee.</p>	

Otago Polytechnic Staff Subcommittee

Terms of Reference

September 2021



Terms of Reference

- The Subcommittee shall advise Otago Polytechnic Limited Board of Directors (the Board) on matters considered to be of a governance nature. Advice may be by way of a recommendation, or by providing a range of diverse views that reflect the staff perspectives.
- The Subcommittee is expected to consult widely with staff at large, so that a broad staff view is brought to bear on the matters about which the committee offers advice.
- The Subcommittee is subject to the rules relating to committees of the Board
- The Subcommittee shall meet regularly, consistent with the annual cycle of Board meetings; and shall determine its own operating procedures provided that these are not inconsistent with the general requirements for committees.
- The Secretary to the Board shall ensure that the minutes of the committee are recorded and included in the Board papers.

Membership

The total membership of the Subcommittee should not exceed 16 members, made up as follows:

Fourteen (14) members being equal numbers of professional (general) and academic staff (with consideration of campus representation) elected by staff employed at Otago Polytechnic Ltd.

One (1) member of the Executive Leadership Team (nominated by the Chief Executive).

One (1) member of the Board. The member of Board will preferably be a member appointed to the Board by virtue of his or her educational experience and expertise.

The elected members must be staff members of Otago Polytechnic, full time or proportional.

The term of office for Subcommittee members shall be three years with outgoing members eligible to be re-appointed for a further term of three years. At the expiry of consecutive terms a stand-down period of three years will apply.

The Subcommittee shall appoint its own Convenor and Deputy Convenor, one of which shall be a professional staff member and the other an academic staff member. The appointment will be made by vote of the Subcommittee members, for a term of three years with an option to be re-appointed for a further term of three years.

At the conclusion of the term, if the Convenor is a professional staff representative, the succeeding Convenor should be from the academic staff representatives (and vice versa).

The Convenor of the Staff Subcommittee, or the Deputy Convenor as alternate, shall be granted attendance and speaking rights at the full Board of Directors' meeting (open and closed sessions); subject to the confidentiality inherent in attendance at the closed session; and subject to the same requirements as Board members regarding conflicts of interest.

Matters to be considered by the Subcommittee

The Subcommittee shall not be constrained in the matters about which it deliberates but is expected to confine advice to the Board to matters of governance.

Such matters may include advice on:

- the strategic objectives of the Polytechnic
- matters concerning the transition to Te Pukenga
- matters concerning the work environment
- matters concerning the learning environment
- budget priorities.

The Subcommittee may also provide advice to the Chief Executive and Executive Leadership Team on management related issues.

Consideration by the Board of advice from the Subcommittee

The Board shall seek advice from the committee prior to making decisions on the matters identified above; provided that failure to receive advice shall not be grounds to nullify a Board decision. Where prior notice of a matter cannot reasonably be given to the committee in order to enable the Subcommittee to form a view e.g., tabled items, or closed session items, the Board shall seek the advice of the Subcommittee by hearing the views of the Convenor in attendance at the Board meeting.

Operational Considerations

The required quorum for any meeting will be fifty percent plus one of the total number of members. If no quorum is achieved the meeting will be adjourned, with an attempt to reschedule it within seven (7) days.

The Subcommittee will work towards a positive relationship with the CEO and provide timely, relevant, and reliable feedback on identified issues and themes from staff.

Employment issues related to individual staff are outside the scope of the Subcommittee Terms of Reference and should be referred to People and Culture in the first instance.

A member of the marketing team will be invited to attend Subcommittee meetings (ex officio) to provide advice regarding appropriate dissemination of material and information.

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: OPSA/OTAGO POLYTECHNIC	
PURPOSE: Notes from a meeting held on 21 October 2021: Invite: Otago Polytechnic Students Association - Executive, College Representatives, Programme Representatives (present 9) Subject: Proposed Operations Model with CE Megan Gibbons Megan worked through a condensed PowerPoint presentation. Learners were interested to gain understanding of the Te Pūkenga journey, what it means for them/staff, their involvement and future Themes discussed: <ol style="list-style-type: none"> 1. Is there information we can share and say learner feedback is valuable (A. tile on OP Student Hub) 2. Will it be on digital screens, with videos playing (arranging this) 3. Interest in collaboration with universities, Te Wānanga and others throughout region and nationally. 4. Impact on programmes offered by OP from 2023. 5. NZQA marking criteria and grade schedules across the network. 6. Timeline for change. 7. Changes to leadership (people) we know and engage with. 8. Impact on OPSA contract with NZ Security Cards (negotiation) to deliver SID cards. When will we have branding for Student IDs. 	

OTAGO POLYTECHNIC LIMITED	
BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: KOMITI KAWANATAKA	
PURPOSE: Attached for noting are key points from the Komiti Kawanataka meeting held on 4 November 2021.	

MEETING OF TE KOMITI KĀWANATAKA

4 Whitu (Nov) 2021



KOMITI:	Kare Tipa (Acting Chair), mana whenua mandated Direct, OP Ltd Board Janine Kapa, DCE: Māori Devt/Kaitohutohu Megan Pōtiki, Chair of Komiti Kāwanataka & Deputy Chair of OP Ltd Board (online) Stacey Gullen-Reynolds, Te Rūnanga o Moeraki Ria Brodie, Kāti Huirapa Rūnaka ki Puketeraki (online)
In Attendance:	Scott Klenner, Tumuaki Whakaako Frank Edwards, Tumuaki Whakaruruhau Tessa Thomson, KTO Debbie Davie, KTO - minutes
Apologies:	Megan Pōtiki (lateness) Matt Matahaere, Te Rūnanga o Ōtākou Chris Morland, DCE Learner Experience Khyla Russell, Kaumātua Ron Bull, Tumuaki Whakaako Shaun Tahau, Tumuaki Whakawhanake

KARAKIA TIMATAKA (Frank)

Mihi to Kare for chairing Komiti today and to Ria and Matt for their ongoing mahi on the COVID-19 vaccination programme.

POINTS OF NOTE

1. Te Pūkenga Update (Janine)
 - Mihi to those who attended the Mana Whenua engagement on the proposed Operating Model today (4 Nov.). The KTO will collate the feedback, send it to attendees for endorsement and submit to Te Pūkenga before 5pm on 8 November 2021 when the engagement period closes.
 - Regionality and Governance is the next area that will be consulted on.
2. Whaiao: Regional Centre of Expertise Otago (Ron)
 - Ron took part in the WAO Summit 2021 in Wānaka held in the last week of October
 - Co-Chair position (mana whenua position) remains unfilled
 - Suggest next hui Ron give an overview presentation of what Whaiao: RCE Otago is and what it does, and further that a pānui be created to distribute to rūnaka.
3. Tino Rangatiratanga Flag – outcome of discussions relayed to OPSA President including the suggestion of having this as a theme to promote a wider discussion at OP's Māori Research Symposium in 2022.
4. Taura Hardship & Homelessness – no further update
5. Board Meeting on one of our Papatipu Marae (Nov) – under current Level 2 restrictions we cannot meet on one of our marae this year. Mana Whenua have agreed to defer this until early 2022. Feedback is being sought, in the meantime, by way of a survey disseminated to whānau via rūnaka, Kare and Megan. The Māori Annual Report has already been electronically sent out to rūnaka offices (and wider).
6. Memorandum of Understanding (MoU) resigning – consensus (from those present at this meeting) that under the current COVID-19 restrictions the resigning can occur electronically, with copies to be presented formally at a later date (ToR – quorum regulations to be checked).

7. Rūnaka representation on Komiti – a suggestion was made to check with Te Rūnanga o Ōtākou that its representative is still necessary given two members (Megan and Matt) are from Ōtākou. Capacity challenges and competing demands were cited as the reason for checking the ongoing appropriateness of this.
8. Te Punaka Ōwheo (new building) – no further update
9. Wānanga Planning – a tentative date has been set for this on 11 March (TBC), 4.00 – 7.00pm). The Kaitohutohu Office will work on a project plan to bring this wānanga to fruition.
10. Kaitohutohu Report: tabled
11. Trades Training Name Suggestions – He Toki Kai Te Rika (i.e. ‘a tool for your hand’) was suggested, and also, that the narrative behind this name be emailed to rūnaka for their information.

KARAKIA WHAKAMUTUKA (Frank)

Meeting closed 1.50pm

OTAGO POLYTECHNIC LIMITED	
BOARD PAPER	
OPEN AGENDA	DATE: 18 NOVEMBER 2021
ITEM: POLICIES	
PURPOSE: The attached policies have had minor revisions; mainly updates to job titles. <ul style="list-style-type: none">• Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from Chief Executive• Procurement and purchasing Te Pūkenga aligned• Purchasing and Credit Cards• Conflicts of Interest• Sensitive Expenditure For endorsement by the Board.	



Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from Chief Executive

Section	Board		
Approval Date	1 June 2020 <u>1 Nov 2021</u>	Approved by	OP Board
Next Review	30 Nov 2022	Responsibility	Director: Business Services <u>Deputy Chief Executive: Corporate Services</u>
Baldrige Criteria	Leadership		

PURPOSE

The Board of Otago Polytechnic Limited is responsible for the business and affairs of the Polytechnic. This policy sets out the delegation of authority from the Board to the Chief Executive ~~or Interim Chief Executive (as applicable)~~, together with the limitations on those delegations. It also sets out the Board's agreement to certain sub-delegations by the Chief Executive.

This policy is to ensure delegations are implemented in a way that a) ensures the efficient and effective day to day management of the Polytechnic in a financially responsible manner and b) enables the Board to meet its statutory and other obligations, including public accountability.

COMPLIANCE

- Education and Training Act 2020, and all subsequent amendments
- Crown Entities Act 2004, and all subsequent amendments
- State Sector Act 1988, and all subsequent amendments
- Public Finance Act 1989, and all subsequent amendments
- Companies Act 1993, and all subsequent amendments
- Local Government Official Information and Meetings Act 1987, and all subsequent amendments
- Health & Safety at Work Act 2015, and all subsequent amendments

POLICY

1. The Board, as authorised by the Education and Training Act 2020 section 222, delegates to the Chief Executive all management powers and functions necessary for the operation of the Polytechnic. Delegations must be ~~within the New Zealand Institute of Skills and Technology Te Pūkenga's (NZIST)~~ Subsidiaries Governance Framework March 2021 (Summary - Appendix 1).
2. The Board delegates to the Chief Executive, the power to sub-delegate to members of the staff of the Polytechnic. Appendix 2 to this Policy identifies the specific functions and powers, delegated to the Chief Executive in accordance with this Policy, which the Chief Executive may sub-delegate. The Board has given its standing consent to the sub-delegations set out in Appendix 2.
3. Any sub-delegation must be consistent with this Policy and subject to the sub-delegate agreeing to comply with all specified delegation limitations in the form attached as Appendix 3.
4. Sub-delegations as set out in Appendix 2 must be approved by the following:

Position	Authorisation for delegation
Executive Leadership Team	Chief Executive
Directors and Head of College/Programme Head	Relevant DCE
Senior Financial Analyst	<u>Director Finance Services</u>
EA, Team Leaders	Relevant DCE
School Administrators, Technicians	Relevant Director/Head of College/Programme Head
Not specified	Relevant DCE

5. In instances of absence of a person who normally holds a delegated authority, the authority can be delegated by the relevant person to a person in an acting capacity.
6. The Chief Executive has not been given delegation to approve the Chief Executive's own staff development, study leave and international travel outside Australasia.
7. The Chief Executive must act in good faith and in a manner that maintains the reputation of the Polytechnic and Te Pūkenga and is consistent with and gives effect to NZIST's Te Pūkenga's functions (section 222B of the Education and Training Act) and NZIST's Te Pūkenga's charter (Schedule 22 of the Education and Training Act).
8. The Chief Executive shall keep the Board informed at all times, operating on a "no surprises" basis.
9. The Chief Executive will manage the Polytechnic's human, physical, and financial resources prudently and in the best interests of the institution. The principal purpose of expenditure being for the benefit of Otago Polytechnic.
10. Board and/or NZIST-Te Pūkenga approval is required for any transaction or contract exceeding the limits delegated to the Chief Executive.
11. The Board and NZIST-Te Pūkenga is responsible for reviewing and approving the annual budget, the reforecast and the capital asset plan of the Polytechnic.
12. All financial results shall be reported against the annual budget or the approved reforecast to the Board each month, in accordance with the reporting guidelines approved by the Board.
13. Any or all delegations under this policy may be withdrawn, amended or reduced at any time by a written confirmation from the Chairperson of the Board to the Chief Executive, or by a formal Board resolution.
14. Where this policy conflicts with any laws or regulations or any decision made by the Board, the laws, regulations or Board decision (as applicable) take precedence.
15. The Chief Executive and any sub-delegates must consider if they have a conflict of interest in respect of the matter before exercising the delegated authority. The Conflict of Interest Policy outlines guidance on managing conflicts of interest.

REFERENCES

POLICIES

- Otago Polytechnic Limited Strategic Plan
- Otago Polytechnic Annual Operational and Capital Expenditure budgets
- Disclosure of Interests
- Procurement and Purchasing Policy
- Otago Polytechnic Purchasing and Credit Cards
- Delivery of Programmes by External Contracts
- Employment Delegations
- Travel on Otago Polytechnic Business
- Requests for Official Information

Approved By:

Adam La Hood
Chair, Otago Polytechnic Ltd Board

Date: 18 November 2021



Te Pūkenga

Te Pūkenga Subsidiaries Governance Framework Summary (March 2021)

Please note this document is a summary of relevant provisions of the Te Pūkenga Subsidiaries Governance Framework (particularly in relation to matters which require Te Pūkenga and Secretarial approval), and regard should be had to the relevant underlying document (as referred to below). Please note this document may be updated by Te Pūkenga from time to time. Where a matter requires Te Pūkenga or Secretarial approval, a Te Pūkenga Subsidiary should seek approval from Te Pūkenga using the Te Pūkenga Approval Matters – Request for Approval Form.

Key: ✓ means the requirement is set out in relevant legislation ✓ means the requirement is set out in the Te Pūkenga Subsidiary's Constitution ✓ means the requirement is set out in the Operational and Financial Parameters Direction (OFP Direction) dated March 2021	Decision / Action by Te Pūkenga Subsidiary	Requires Te Pūkenga Approval?	Requires Te Pūkenga Notification?	Requires Secretary or Ministerial Approval (to be sought by Te Pūkenga for and on behalf of the Te Pūkenga Subsidiary)	Notes
GOVERNANCE FRAMEWORK DOCUMENTATION 1. Te Pūkenga Functions and Charter 2. Te Pūkenga Statement of Intent 3. Constitutions of Te Pūkenga Subsidiaries 4. Operational and Financial Parameters Directions of Te Pūkenga Subsidiaries 5. Letter of Expectations from Te Pūkenga (dated 15 September 2020) GUIDING PRINCIPLE TO DECISION-MAKING BY TE PŪKENGAS SUBSIDIARIES Each Te Pūkenga Subsidiary can continue to operate as it did prior to 1 April 2020 as an ITP, subject to the new governance framework restrictions - as summarised in this document. It is important that internal policies, particularly delegations policies, are updated as required to reflect the new governance framework, so that any required consents are sought and required notices are provided in relation to relevant matters.	A. Restricted Thresholds 1. Capital expenditure Agreeing to incur, or incurring, capital expenditure in respect of a capital project: <ul style="list-style-type: none"> which will, or is likely to, result in the Te Pūkenga Subsidiary exceeding its capital expenditure budget in the annual budget; and/or if the cost of, or level of risk of, the capital project is equal to or above the threshold amount set by the Secretary pursuant to s222N of the Education Act 1989 (or section 327 of the Education and Training Act 2020) and: <ul style="list-style-type: none"> the capital project is not within a capital plan of Te Pūkenga approved in writing by the Secretary; or Te Pūkenga has not already obtained the written consent of the Secretary for the capital project. Please refer to the Notes column regarding the distinction between existing capital projects as at 31 March 2020 and new capital projects on and from 1 January 2021 in relation to the Secretary's approval under s222N of the Education Act 1989 and section 327 of the Education and Training Act 2020. The interim threshold amounts for 2021 set by the Secretary pursuant to s327(2) of the Education and Training Act 2020 are also detailed in the Notes column. In short, Secretarial approval will not be required if:	✓✓ (unless expenditure is below threshold in OFP Direction – being the threshold amount set by the Secretary)		✓ (if required by section 327 of the Education and Training Act 2020)	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (a)) and the OFP Direction (para 1 (a)). The threshold amount specified in the OFP Direction is an amount equal to or greater than the threshold amount (or level of risk) set by the Secretary pursuant to section 222N of the Education Act 1989 or section 327 of the Education and Training Act 2020 (see further below). In practical terms, this means that where capital expenditure requires the approval of the Secretary, the Te Pūkenga Subsidiary will need to seek the prior approval of Te Pūkenga (using the Te Pūkenga Approval Matters – Request for Approval Form). If Te Pūkenga approves the expenditure, then Te Pūkenga will seek the approval of the Secretary for that expenditure by the Te Pūkenga Subsidiary. Note that section 327 of the Education and Training Act 2020 provides that a Te Pūkenga Subsidiary may only undertake a capital project if: <ul style="list-style-type: none"> the cost of, or level of risk of, the project to Te Pūkenga is below thresholds set by the Secretary; or the project is within a capital plan of Te Pūkenga approved in writing by the Secretary; or Te Pūkenga has obtained the written consent of the Secretary for the project. Existing Capital Projects as at 31 March 2020 <ul style="list-style-type: none"> The Te Pūkenga Council has received a letter from the Secretary for Education confirming that consent is not required from the Secretary for existing capital projects that have been approved by the former council of each Te Pūkenga Subsidiary's Existing Polytechnic. However, if the Te Pūkenga Subsidiary is proposing to undertake capital expenditure in relation to an existing capital project and the expenditure will, or is likely to, result in the Te Pūkenga Subsidiary exceeding its capital expenditure budget in the annual budget, approval will still be required from Te Pūkenga.

Key: ✓ means the requirement is set out in relevant legislation ✓ means the requirement is set out in the Te Pūkenga Subsidiary's Constitution ✓ means the requirement is set out in the Operational and Financial Parameters Direction (OFP Direction) dated March 2021	Decision / Action by Te Pūkenga Subsidiary	Requires Te Pūkenga Approval?	Requires Te Pūkenga Notification?	Requires Secretary or Ministerial Approval (to be sought by Te Pūkenga for and on behalf of the Te Pūkenga Subsidiary)	Notes
	<ul style="list-style-type: none"> the capital expenditure is <u>within the 2021 capital expenditure budget</u>; or the capital expenditure <u>exceeds the 2021 capital expenditure budget</u>, and: <ul style="list-style-type: none"> the value of the commitment or transaction is <u>less than \$1 million</u>; and the <u>aggregate value</u> of the "Unbudgeted Expenditure" in relation to such transactions across the relevant Te Pūkenga Subsidiary in respect of 2021 <u>does not exceed \$5 million</u>. 				<p>New Capital Projects on and from 1 January 2021</p> <ul style="list-style-type: none"> The Secretary has consulted with Te Pūkenga on interim capital project thresholds for 2021. The interim thresholds set by the Secretary for the purposes of section 327(1)(a) of the Education and Training Act 2020 are published (on behalf of the Ministry of Education) at the following link: https://www.tec.govt.nz/assets/Forms-templates-and-guides/Interim-Thresholds-for-Approval-of-Capital-Expenditure-by-the-Secretary-of-Education_Dec-2020.pdf In summary, capital expenditure committed, or undertaken in a transaction or related series of transactions, by a Te Pūkenga Subsidiary will be within the limits of the interim thresholds set by the Secretary (and will not require Secretary approval) if: <ul style="list-style-type: none"> Budgeted Capital Expenditure: The capital expenditure is within the capital expenditure provided for in the 2021 annual budget approved by the Council of Te Pūkenga (Budgeted Capital Expenditure); or Unbudgeted Capital Expenditure: The capital expenditure exceeds the Budgeted Capital Expenditure, and the value of the commitment or transaction is less than \$1 million and the aggregate value of the "Unbudgeted Expenditure" in relation to such commitments or transactions across the relevant Te Pūkenga Subsidiary in respect of 2021 does not exceed \$5 million. For this purpose, "Unbudgeted Expenditure" means capital expenditure that is not provided for in the annual budget for 2021 that was approved by the Council of Te Pūkenga. Please note that even if Secretary approval is not required for new capital expenditure because: <ul style="list-style-type: none"> the capital expenditure is within the limits of the interim thresholds set by the Secretary as detailed above; or the project is within a capital plan of Te Pūkenga approved in writing by the Secretary; or Te Pūkenga has obtained the written consent of the Secretary for the project, <p>Te Pūkenga approval will still be required if the capital expenditure will (or is likely to) result in the Te Pūkenga Subsidiary exceeding its Budgeted Capital Expenditure.</p>



Key: ✓ means the requirement is set out in relevant legislation ✓ means the requirement is set out in the Te Pūkenga Subsidiary's Constitution ✓ means the requirement is set out in the Operational and Financial Parameters Direction (OFP Direction) dated March 2021	Decision / Action by Te Pūkenga Subsidiary	Requires Te Pūkenga Approval?	Requires Te Pūkenga Notification?	Requires Secretary or Ministerial Approval (to be sought by Te Pūkenga for and on behalf of the Te Pūkenga Subsidiary)	Notes
TE PŪKENGĀ FUNCTIONS Each Te Pūkenga Subsidiary must give effect to the functions of Te Pūkenga: 1. To provide or arrange, and support, a variety of education and training, including vocational, foundation, and degree-level or higher education and training; 2. To conduct research, with a focus on applied and technological research; 3. To be responsive to and to meet the needs of the regions of New Zealand and their learners, industries, employers, and communities by utilising Te Pūkenga 's national network of tertiary education programmes and activities; 4. To improve the consistency of vocational education and training by using skill standards and working in collaboration with workforce development councils; 5. To improve outcomes in the tertiary education system as a whole, including (without limitation) by making connections with schools and other organisations involved in tertiary education and by promoting and supporting life-long learning; 6. To improve outcomes for Māori learners and Māori communities in collaboration with Māori and iwi	2. New Debt and New Borrowing Limits <ul style="list-style-type: none"> Any new borrowing, issuing of debentures or otherwise raising money (except in relation to any finance leases). Entering into any new finance lease that would result in the Te Pūkenga Subsidiary's Tier 1 borrowing being in excess of the Tier 1 "exempt borrowing" limit in the Ministerial Determination on Exempt Borrowing (https://gazette.govt.nz/notice/id/2014-go2538) Any new borrowing limits in relation to any existing debt or borrowing facilities. 	✓✓ (all new borrowing and new borrowing limits require consent of Te Pūkenga)		✓ (pursuant to section 282(4) and 328 of the Education and Training Act 2020, unless the consent of the Secretary is not required under section 282(5) of the Education and Training Act 2020)	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (paras (b) and (n)) and the OFP Direction (para 1(b)). Refer to Gazette of 1 May 2014 for Ministerial Determination on Exempt Borrowing (https://gazette.govt.nz/notice/id/2014-go2538), TEC guidance on Finance Leases (https://www.tec.govt.nz/teo/working-with-teos/tei/finance-lease/) and TEC guidance on Exempt Borrowing (https://www.tec.govt.nz/teo/working-with-teos/tei/borrowing/). Please note that in relation to requests from Te Pūkenga to the Ministry of Education in respect of intercompany borrowing between Te Pūkenga Subsidiaries, the Ministry of Education has confirmed, by way of letter to the Te Pūkenga Council dated 9 September 2020, that the Secretary for Education has given her standing consent to Te Pūkenga and Te Pūkenga Subsidiaries exercising the powers in section 282(4) of the Education and Training Act 2020 where the exercise of those powers does not affect the overall balance sheet of the group comprising Te Pūkenga and Te Pūkenga Subsidiaries. The powers may be exercised by the entering into of arrangements between Te Pūkenga and any Te Pūkenga Subsidiaries, or between any Te Pūkenga Subsidiaries.
	3. Drawdown on existing debt facilities Drawing-down on any existing debt or borrowing facilities either: <ul style="list-style-type: none"> in advance of the budgeted draw-downs for the financial year; and/or in excess of the total budgeted draw-downs for the financial year by the specified threshold, being where the total draw-downs would be more than 105% of total budgeted draw-downs. 	✓✓ (unless draw-down is below the threshold in OFP Direction – i.e., where total draw-downs would be more than 105% of total budgeted draw-downs for the financial year)			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (c)) and the OFP Direction (para 1(c)) for the specified threshold.
	4. Disposal of property assets Selling or otherwise disposing (including by way of gifting) of property assets or interests in property assets above the specified threshold, being an amount equal to or greater than the property asset disposal threshold determined by the Minister pursuant to section 192(5) of the Education Act 1989 (being a specified formula)	✓✓ (unless disposal is below specified threshold in OFP Direction – being the specified formula determined by the Minister)		✓ (pursuant to sections 282(4) and 328 of the Education and Training Act 2020, unless the consent of the Secretary is not required under	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (d)), which provides that the disposal of all assets (or interests in assets) requires Te Pūkenga consent as a "Reserved Matter" (Te Pūkenga Approval Matter) if the disposal is



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<p>partners, hapū, and interested persons or bodies; and</p> <p>7. To carry out any other functions consistent with Te Pūkenga's role as a tertiary education institution.</p> <p>TE PŪKENGĀ CHARTER</p> <p>Each Te Pūkenga Subsidiary must give effect to the Te Pūkenga Charter:</p> <ol style="list-style-type: none"> 1. Te Pūkenga – The New Zealand Institute of Skills and Technology (Te Pūkenga) exists to perform the functions set out in section 315 of the Education and Training Act 2020. 2. Te Pūkenga will be responsive to the needs of all regions of New Zealand, their learners, industries, employers, and communities. 3. To meet the needs of regions throughout New Zealand, Te Pūkenga must— 	<p>or section 282(5) of the Education and Training Act 2020.</p>			<p>section 282(5) of the Education and Training Act 2020)</p>	<p>in excess of the threshold amount set out in the OFP Direction. See paragraph 1 (d) of the OFP Direction for the threshold.</p> <ul style="list-style-type: none"> • See sections 282(4) and 328 of the Education and Training Act 2020 for the requirement to obtain written consent of the Secretary (subject to the provisions of section 282(5) of the Education and Training Act 2020). • Section 282(5) of the Education and Training Act 2020 provides that the consent of the Secretary is not required for selling or otherwise disposing of, an asset or an interest in an asset, where the value of the asset or interest does not exceed an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister. • The Minister has determined that particular consent requirements apply to the disposal of property assets and/or interests in property assets (excluding land and buildings held in Crown title). Guidance published by the Tertiary Education Commission specifies that: <ul style="list-style-type: none"> ○ Property means land and/or buildings. ○ An interest in land includes an easement. Ordinarily, an interest in land would also include a lease, but there are particular consent requirements for leases (see section 7 of this table). ○ A property disposal includes the selling of property and the demolition of buildings. • The Minister has specified a formula for determining the threshold amount for disposals of property and/or interests in property assets. Disposals valued above that threshold amount require the consent of the Secretary. Please refer to the Tertiary Education Commission's website for further details: https://www.tec.govt.nz/teo/working-with-teos/tei/asset-management-teis/land-buildings/
<ol style="list-style-type: none"> (a) offer in each region a mix of education and training, including on-the-job, face-to-face, and distance delivery that is accessible to the learners of that region and meets the needs of its learners, industries, and communities; and (b) operate in a manner that ensures its regional 	<p>5. Disposal of non-property assets</p> <p>Leasing, selling or otherwise disposing (including by way of gifting) of non-property assets or interests in non-property assets in a transaction, or series of related transactions, above a specified threshold, being an amount equal to the threshold amount of disposals of plant and equipment and financial assets as determined by the Minister pursuant to section 192(5) of the Education Act 1989 (being a specified formula) or section 282(5) of the Education and Training Act 2020.</p>	<p>✓✓</p> <p>(unless disposal is below threshold in OFP Direction)</p>		<p>✓</p> <p>(pursuant to sections 282(4) and 328 of the Education and Training Act 2020, unless the consent of the Secretary is not required under section 282(5) of the Education and Training Act)</p>	<ul style="list-style-type: none"> • See Schedule 2 of the Constitution (para (d)), which provides that the disposal of all assets (or interests in assets) requires Te Pūkenga consent as a Te Pūkenga Approval Matter if the disposal is in excess of the threshold amount set out in the OFP Direction. See paragraph 1 (e) of the OFP Direction for the threshold – being an amount equal to the threshold amount of disposals of plant and equipment and financial assets as determined by the Minister pursuant to section 192(5) of the Education Act 1989 (being a specified formula) or section 282(5) of the Education and Training Act 2020. • See sections 282(4) and 328 of the Education and Training Act 2020 for the requirement to obtain written consent of the Secretary (subject to the provisions of section 282(5) of the Education and Training Act 2020).



Key:					
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✓ means the requirement is set out in the Te Pūkenga Subsidiary's Constitution					
✓ means the requirement is set out in the Operational and Financial Parameters Direction (OFP Direction) dated March 2021					
representatives are empowered to make decisions about delivery and operations that are informed by local relationships and to make decisions that meet the needs of their communities; and					<ul style="list-style-type: none"> Section 282(5) of the Education and Training Act 2020 provides that the consent of the Secretary is not required for selling or otherwise disposing of, an asset or an interest in an asset, where the value of the asset or interest does not exceed an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister. The Minister has specified a formula for determining the threshold amount for disposals of plant and equipment and financial assets. Disposals valued above that threshold amount require the consent of the Secretary. Please refer to the Tertiary Education Commission's website for further details: https://www.tec.govt.nz/teo/working-with-teos/tei/asset-management-teis/sale-plant-equipment-financial-assets/
(c) ensure that international learners are attracted to train and study in regions throughout New Zealand; and					
(d) ensure that there is collaboration across its national network; and					
(e) maintain a high-quality coherent network of infrastructure that meets regional skills needs.					
4. Te Pūkenga must operate in a way that allows it to—	6. Charging of assets Mortgaging or otherwise charging any assets or interests.	✓✓		✓ (pursuant to sections 282(4) and 328 of the Education and Training Act 2020, unless the consent of the Secretary is not required under section 282(5) of the Education and Training Act)	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (e)) and the OFP Direction (para 1 (f)). The threshold for charging or mortgaging of assets in the OFP Direction without requiring Te Pūkenga consent is zero. Practically, this means that all proposed charging or mortgaging of assets by a Te Pūkenga Subsidiary will require Te Pūkenga consent. This allows Te Pūkenga to ensure its ongoing compliance with legislative provisions (see below) and obligations relating to the Te Pūkenga Group's financing arrangements. See sections 328 and 282(4) of the Education and Training Act 2020 for the requirement to obtain written consent of the Secretary (subject to the provisions of section 282(5) of the Education and Training Act 2020). Section 282(5) of the Education and Training Act 2020 provides that the consent of the Secretary is not required for mortgaging or otherwise charging an asset or an interest in an asset, where the value of the asset or interest does not exceed an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister.
(a) empower students and staff on academic, non-academic, and well-being matters and matters relating to the organisation's practices and services; and					
(b) develop meaningful partnerships with—	7. Leases and licences Entering into leases or licences (but excluding where a counterparty exercises any right of renewal) of land, buildings or parts of buildings (by the Te Pūkenga Subsidiary as grantor or grantee): <ul style="list-style-type: none"> where the annual rent payable or receivable is in excess of the threshold amount, being \$400,000; or which is for a term (including any rights of renewal) in excess of three years (for Te 	✓✓ (unless lease or licence is below time and value thresholds in OFP Direction – being \$400,000 and three years)		✓ (pursuant to sections 282(4) and 328 of the Education and Training Act 2020, but only for granting particular leases of land or buildings or parts of buildings over 15 years)	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (f)) and the OFP Direction (para 1 (g)). See sections 282(4) and 328 of the Education and Training Act 2020 for the requirement to obtain written consent of the Secretary for granting leases of land or buildings or parts of buildings (subject to the provisions of section 282(5) of the Education and Training Act 2020). Section 282(5) of the Education and Training Act 2020 provides that the consent of the Secretary is not required for granting a lease for a term that does not exceed, and when added to any term for which the lease may be renewed does not exceed, 15 years.



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(i) industry across the country, including Māori and Pacific employers, smaller employers, and those operating in niche sectors; and (ii) communities at a local level, including hapū and iwi, and Pacific communities; and (c) use the insights gained through partnerships to— (i) develop and provide vocational education and training that meets short-term and long-term skills needs; and (ii) expand industry training into smaller employers and niche sectors; and (iii) align education and training delivery to support the unique social and economic goals of local communities; (iv) work towards equity for learners and staff of different genders, ethnicities, cultures, and abilities; and (d) reflect Māori-Crown partnerships in order to—		Pūkenga approval) or 15 years (for Secretarial approval)				
		B. Restricted Actions				
		8. Receipt of gifts Receipt of any of gifts of real property (e.g., land and buildings), personal property (e.g., shares or options to acquire shares) or any other asset, real property or personal property that has material or long-term operating or capital costs or liabilities (including contingent liabilities)	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (g)) (including for a detailed description of the types of gifts).
		9. Annual Academic Programme Any development of, or changes to, any qualifications, programmes or related course material outside of any annual academic programme agreed with Te Pūkenga from time to time	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (h)). Please note that Te Pūkenga has not agreed any annual academic programme with Te Pūkenga Subsidiaries and so, in practice, this provision will not apply unless and until that occurs. However, please see item 21 below in relation to programme delivery.
		10. Name of the Te Pūkenga Subsidiary Changing the name of the Te Pūkenga Subsidiary	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (i)).
		11. Acquiring shares or interests Acquiring shares in any company or acquiring an interest in any partnership, joint venture, or other association of persons, or an interest in a company other than in its shares	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (j)).
		12. Trusts Settling a trust or being appointed a trustee of a trust	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (k)).
		13. Additional subsidiaries Incorporating, establishing or acquiring a subsidiary company	✓		✓	<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (l)), which provides that the incorporation, establishment or acquisition of a subsidiary by a Te Pūkenga Subsidiary requires the approval of Te Pūkenga as a Te Pūkenga Approval Matter.
		14. Ring-fenced amounts	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (m)) and the Te Pūkenga Cash Reserves and Ring-Fencing Policy (Ring-Fencing Policy) A copy of the Ring-Fencing Policy and further information is available at:



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(i) ensure that its governance, management, and operations give effect to Te Tiriti o Waitangi; and (ii) recognise that Māori are key actors in regional social, environmental, and economic development; and (iii) respond to the needs of and improve outcomes for Māori learners, whanau, hapū and iwi, and employers; and (e) hold inclusivity and equity as core principles, recognising and valuing the diversity of all of its learners, and providing the unique types of support different learners need to succeed; and (f) meet the needs of all of its learners, in particular those who are under-served by the education system, including (without limitation) Māori, Pacific, and disabled learners; and (g) promote equitable access to learning opportunities for learners across all regions; and (h) have culturally responsive delivery approaches, whether		Expending, drawing-down or otherwise dealing with any amounts that have been ring-fenced by the Te Pūkenga Subsidiary in accordance with any ring-fencing policy of Te Pūkenga				https://vocationaleducation.ac.nz/news/category/news/how-the-ring-fencing-policy-works-and-what-it-means <ul style="list-style-type: none"> In summary, the Ring-Fencing Policy requires that the Ring-Fencing Policy is applied to a ring-fenced amount based on existing qualifying cash reserves as at 31 March 2020 (Ring-Fenced Amount). The Ring-Fenced Amount is to be used solely in the relevant regions in which the relevant Te Pūkenga Subsidiary was located and operated when it was brought into the Te Pūkenga group on 1 April 2020. Approval to use the Ring-Fenced Amount will be in accordance with the relevant nature of the expenditure – e.g., a request to Te Pūkenga to spend all or part of the Ring-Fenced Amount on a capital project will be considered in light of the capital expenditure Te Pūkenga Approval Matter referred to at item 1 of this document.
		15. Director Remuneration Authorisation of Director Remuneration	✓			<ul style="list-style-type: none"> See Schedule 2 (para (o)) and clause 13 of the Constitution. Remuneration must be in accordance with the Fees Framework.
		16. Director indemnity and insurance Providing an indemnity and effecting insurance for directors of the Te Pūkenga Subsidiary	✓			<ul style="list-style-type: none"> See clause 14.1 of the Constitution. Note that section 162 of the Companies Act 1993 provides an indemnity may be provided and insurance effected by the Te Pūkenga Subsidiary in respect of its directors if expressly authorised by the Te Pūkenga Subsidiary's constitution.
		17. Asset management and utilisation plans Approval of an asset management and utilisation plan for the Te Pūkenga Subsidiary	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (p)).
		18. Budgets and funding <ul style="list-style-type: none"> Adoption of budget guidelines Approval of an annual budget and funding and delivery proposal 	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (q) and (r)).
		19. Out of scope activities Approval of any transaction or activity which is inconsistent with the scope and/or nature of the Te Pūkenga Subsidiary's activities set out in the approved annual budget and funding proposal	✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para s)).
		20. Major transactions	✓			<ul style="list-style-type: none"> See section 129 of the Companies Act 1993. A major transaction, in relation to a Te Pūkenga Subsidiary, means:



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on campus, in the workplace, online, or otherwise; and (i) work collaboratively with schools, wānanga, and other tertiary education organisations (including workforce development councils) to improve the outcomes of the education system as a whole, including the transition of learners into employment.	Entering into any major transaction (as defined in section 129 of the Companies Act 1993).				<ul style="list-style-type: none"> the acquisition of, or an agreement to acquire, whether contingent or not, assets the value of which is more than half the value of the Te Pūkenga Subsidiary's assets before the acquisition; or the disposition of, or an agreement to dispose of, whether contingent or not, assets of the Te Pūkenga Subsidiary the value of which is more than half the value of the Te Pūkenga Subsidiary's assets before the disposition; or a transaction that has or is likely to have the effect of the Te Pūkenga Subsidiary acquiring rights or interests or incurring obligations or liabilities, including contingent liabilities, the value of which is more than half the value of the Te Pūkenga Subsidiary's assets before the transaction.
5. In giving effect to clause 4, Te Pūkenga must ensure that— (a) students and employers can transition seamlessly between delivery sites and educational modes, including between workplaces and other forms and places of learning; and (b) programmes of study and qualifications are portable and consistent, yet flexible enough to meet local needs; and (c) the academic integrity of the education and training programmes it delivers is protected; and (d) New Zealand's reputation as a quality study destination for international learners is sustained; and (e) the range of education and training options available to	21. Operational Te Pūkenga Approval Matters Decisions on any operational matter which is specified to be a Reserved Matter/Te Pūkenga Approval Matter in an OFP Direction, including any: <ul style="list-style-type: none"> change to the remuneration of Chief Executive approval of any remuneration for any new Chief Executive approval of any proposed changes to the terms and conditions of employment of the Chief Executive, or any proposed terms and conditions for any new Chief Executive negotiation and agreement of any Multi Employer Collective Agreement change, development and implementation of business systems materially inconsistent with guidelines and limits adopted by Te Pūkenga and notified to the Te Pūkenga Subsidiary setting of student fees outside of the annual budget agreed by Te Pūkenga adoption of any academic policies, student regulations and statutes that are inconsistent with any model academic policies, student regulations and statutes 	✓✓			<ul style="list-style-type: none"> See Schedule 2 of the Constitution (para (t)). The specific operational matters requiring Te Pūkenga approval will be set out in the OFP Direction issued by Te Pūkenga from time to time.



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<div>learners and employers is appropriately broad and current; and</div> <div>(f) future skill needs are anticipated and quickly responded to; and</div> <div>(g) teaching and learning is supported by research, evidence, and best practice; and</div> <div>(h) learning pathways provide learners with a range of opportunities to progress to higher levels of education and training, and also into employment; and</div> <div>(i) the needs of adult and second-chance learners are afforded high priority.</div>	<div>notified by Te Pūkenga to the Te Pūkenga Subsidiary from time to time</div> <div><ul style="list-style-type: none">decision to remove a programme from, add a programme to, or change any programme on (where the change would result in a material change to the nature, scope and purpose of that programme that would impact on the Te Pūkenga network of programme delivery), the list of programmes prepared by the Te Pūkenga Subsidiary to support the Te Pūkenga Subsidiary's then-current investment plan provided to the Tertiary Education Commission for the purposes of the Te Pūkenga Subsidiary obtaining SAC fundingchange of scope of regional delivery of programmesdecision relating to the design or implementation of regional or international marketing which is materially inconsistent with the brand standards and/or marketing approach of Te Pūkengadecision relating to the entry of the Company into risk management facilities (including the establishment of a derivative dealing line/limits with a bank, or the signing of an ISDA agreement)</div>					
	C. Notification and Consultation Matters					
	<div>22. Matters requiring notification and consultation</div> <div>Matters specified in an OFP Direction in respect of which the Te Pūkenga Subsidiary must give Te Pūkenga reasonable notice, consult with Te Pūkenga and have due regard to comments from Te Pūkenga, including any:</div> <div><ul style="list-style-type: none">circumstances where the Te Pūkenga Subsidiary is likely to exceed, or exceeds, 102% of its total budgeted operating expenditure for a financial year</div>		<div>✓✓</div> <div>(Note that consultation is also required)</div>		<div><ul style="list-style-type: none">The specific matters requiring notification and consultation will be set out in the OFP Direction issued by Te Pūkenga from time to time (see clause 7.2(c) of the Constitution).Please note that Te Pūkenga issued guidance to Te Pūkenga Subsidiaries on 5 June 2020 regarding collective bargaining and, in particular, the parameters that will apply to Collective Employment Agreements as contemplated by the OFP Direction.</div>	



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	<ul style="list-style-type: none">circumstances where the Te Pūkenga Subsidiary is likely to receive, or receives, less than 98% of its total budgeted operating expenditure for a financial yearappointment of Chief Executiveperformance review of Chief Executiveadoption or amendment of student regulations and statutes (where consent is not required above)development and adoption of the Te Pūkenga Subsidiary's statement of strategic intentinitiating bargaining for, bargaining and entering into any Collective Employment Agreement (other than a MECA) (provided that the Te Pūkenga Subsidiary must ensure that the terms of any concluded Collective Employment Agreement are within agreed parameters set by Te Pūkenga as notified by Te Pūkenga from time to time, with any departure from those parameters (if any) requiring Te Pūkenga consent, and with any difficulties in concluding a Collective Employment Agreement to be advised by the Te Pūkenga Subsidiary to Te Pūkenga)proposed restructuring of the Te Pūkenga Subsidiary which would in the Te Pūkenga Subsidiary's view, have a substantial impact on the strategic direction and initiatives as notified by Te Pūkenga to the Te Pūkenga Subsidiary from time to time. For any other proposed restructuring, the Company is expected to (i) participate in any Te Pūkenga group transition programme that exists, and (ii) notify Te Pūkenga of the outcome, in each case in order to keep Te Pūkenga informed <p>The OFP Direction also provides that Te Pūkenga Subsidiaries are required to notify Te Pūkenga (but not consult with Te Pūkenga) where there are any new employment policies introduced.</p>				





Summary of Authorities and Delegations for OP Staff (Board, academic and employment authorities are excluded from this document)

3-Mar-21

Saved in Policies Committee on Teams

Note:

All delegations are subject to the OP Policy, Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from Chief Executive, and to the Te Pūkenga Subsidiary Governance Framework. The below is a summary for reference.

In all cases authority can be delegated by the relevant person while they are away to a person in an acting capacity

Authority to Approve Sensitive Expenditure										
This authority covers all sensitive expenditure covered in policy Sensitive Expenditure										
All approvers are expected to keep expenditure within current year overall budget/forecast provision										
It is the circumstances in which the expenditure occurs, together with the materiality of the expenditure, which will determine whether it is potentially sensitive.										
Sensitive Expenditure should be approved by the person at least 'one-up' from the person/s perceived to benefit from the expenditure or by the DCE Corporate Services, DCE Business Services, or the Finance Manager or a Senior Financial Analyst in a back-up capacity										
Chief Executive (CEO)	DCE: Corporate Services	DCE: Corporate Services and Chief Executive	DCE Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Operating expenditure up to \$650k per individual item and up to \$3m for payments to OPAIC	Operating expenditure up to \$150k per individual item	Operating expenditure up to \$50k per individual item within their directorate	Operating expenditure up to \$100k per individual item	Up to \$25k within their college or service area on written delegation	Up to \$25k within their programme area on written delegation	Operating expenditure up to \$25k per individual item		Up to \$10k within their area on written delegation		
Can approve for any employees. Chief Executive Sensitive Expenditure purchases are approved by the Board Chairperson. Travel policy allows for retrospective approval for CEO expenditure	Can approve for any employees except the Chief Executive. Travel policy allows for retrospective approval by CEO for DCE Corporate Services expenditure	Can approve for any employees except the CEO, and any other ELT. Travel policy allows for retrospective approval by CEO for ELT expenditure	Can approve for any employees except the DCE Corporate Services and the CEO. Travel policy allows for retrospective approval by CEO for DCE Business Services expenditure	Can approve for employees in their College or Service area. CEO, ELT and any other Directors/Heads of College are specifically excluded. Travel policy allows for retrospective approval by ELT for Directors/Head of College expenditure	Can approve for employees in their programme area. CEO, ELT, Directors, Heads of College and any other Programme Heads are specifically excluded.	Can approve for any employees except the CEO, DCE's and any other Finance Manager / Senior Financial Analysts		Can approve for employees in their Programme/Service Area. CEO, ELT, Directors, Heads of College, Programme Heads and any other Team Leaders are specifically excluded		
Policies: Sensitive Expenditure, Travel on Otago Polytechnic Business										

Authority to Approve Purchases										
This authority covers all types of spending approvals including reimbursements, international payments, purchase order approvals, credit card transactions albeit some of these have additional restrictions as below or under the sensitive expenditure guidelines										
All approvers are expected to keep expenditure within current year overall budget/forecast provision										
Note: Items over \$5k must comply with policy Procurement and Purchasing										
Chief Executive	DCE: Corporate Services	ELT (excl DCE Corporate Services)	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Operating expenditure up to \$650k per individual item and up to \$3m for payments to OPAIC	Operating expenditure up to \$150k per individual item	Operating expenditure up to \$50k per individual item within their directorate	Operating expenditure up to \$100k per individual item	Up to \$25k within their college or service area on written delegation	Up to \$25k within their school on written delegation	Operating expenditure up to \$25k per individual item	Up to \$10k on written delegation	Up to \$10k within their area on written delegation	Up to \$2.5k on written delegation	By exception up to \$10k on written delegation
Capital expenditure, within the annual budget or forecast, up to \$2m per item	Capital expenditure, within budget/forecast, up to \$1m per item	Capital expenditure, within budget/forecast, up to \$50K per item	Capital expenditure, within budget/forecast, up to \$100K per item	Capital expenditure, within budget/forecast, up to \$25K per item	Capital expenditure, within budget/forecast, up to \$25K per item	Capital expenditure, within budget/forecast, up to \$25K per item		Capital expenditure, within budget/forecast, up to \$10K per item		
Capital expenditure, outside budget/forecast, up to \$1m per item and the aggregate value of all items does not exceed the capital expenditure budget by more than \$5m	Capital expenditure, outside budget/forecast, up to \$500k per item and the aggregate value of all items does not exceed the capital expenditure budget by more than \$2.5m									
Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to Sign Contracts (non employment)										
All contracts must be approved by the Contracts Manager										
Note - Subcontracting contracts have special requirements see Delivery of Programmes by External Contracts. Subcontracting contracts must be signed by the DCE Learning and Teaching Services										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Revenue contracts up to \$2M and a margin of > 5%. Revenue contracts over \$2M and a margin of >5% supported by legal or specialist advice	Revenue contracts up to \$2M and a margin of > 5%	Revenue contracts up to \$100k and a margin of >5%.	Revenue contracts up to \$200k and a margin of >5%.	Revenue contracts up to \$50k and a margin of >5%	Revenue contracts up to \$50k and a margin of >5%					
Expenditure contracts < \$400k and < 3 years duration	Expenditure contracts < \$200k and < 3 years duration	Expenditure contracts, rollover, up to limits of delegated authority. New, less than \$50k and 3 years	Expenditure contracts < \$200k and < 3 years duration	Expenditure contracts, rollover, up to limits of delegated authority. New, less than \$25k and 3 years	Expenditure contracts, rollover, up to limits of delegated authority. New, less than \$25k and 3 years					
Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to sign bank authorities (including payroll and international payments)										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Yes	Yes	Yes	Only Te Kaihāpai and DCE People, Culture and Safety		Yes				
CP5 Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to issue a credit card										
Note: Formal leader approval is required. The credit card limit is to be the lowest practical amount and is agreed with the formal leader and the DCE Business Services										
Chief Executive	DCE Corporate Service or DCE Business Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Yes on approval from formal leader		Yes on approval from formal leader			Yes on approval from formal leader				
Policy: OP credit and purchasing cards										

Authority to Approve Credit Card Transactions (note this is subject to the sensitive expenditure guidelines above)										
Note: Approval for the CE card is normally the Board Chair and sign off for the DCE Corporate Services card is normally CE										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Heads of Discipline	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
All OP staff, up to delegated authority limits	All OP staff, up to delegated authority limits but excluding CE if conflicted (e.g., if the DCE Corporate Services is at the same event as the CE)	Directorate line staff, up to delegated authority limits plus DCE Corporate Services and Director of Business Services	All OP staff, up to delegated authority limits excluding CE and DCE Corporate Services if conflicted	Staff in directorate/college, up to delegated authority limits	Staff in programme area, up to delegated authority limits	All OP staff, up to delegated authority limits excluding CE, DCE Corporate Services and DCE Business Services if conflicted				
Policy: Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to write off bad debts										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Up to \$50K	Up to \$25k		Up to \$15k							
Policy: Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to make donations (excluding sponsorship arrangements)										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
up to \$5k per year	up to \$5k per year									
Policy: Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to award prizes and other awards										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Up to \$10K	Up to \$10K	Up to \$10K	DCE: People, Culture and Safety up to \$10k						
Policy: Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to discount or waive fees for individual students (including Compassionate refunds)										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes for both individual students and a programme as a whole	Yes for both individual students and a programme as a whole		Yes	Te Kaihāpai only		Yes				
Policy: Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive										

Authority to recruit, appoint and sign employment contracts										
Applications must be signed off by DCE and DCE Corporate Services/DCE Business Services before any advertising commences, and again before any appointment is made. Variations / proposed variations to existing contracts must be approved by the relevant DCE and DCE Corporate Services/DCE Business Services										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes, where terms and conditions of employment do not materially depart from standard terms and conditions	Yes	Yes	Yes	Yes - DCE People, Culture and Safety Only						
Policy: Employment Delegations										

Authority to engage contractor services										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Yes	Yes - within approved budget/forecast or with substitution from other budget or forecast lines in the department	Yes	Yes - within approved budget/forecast or with substitution from other budget or forecast lines in the department	Yes - within approved budget/forecast or with substitution from other budget or forecast lines in the department					
Policy: Procurement & Purchasing										

Authority to sign off marketing and communications plans, campaigns and deployment										
All campaigns, marketing & comms plans, content and deployment must relate to the OP strategic plan and be supported by data evidence										
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes, where consistent with Te Pūkenga's brand standards and/or marketing approach	Yes			Director Marketing, Sales and Communication						

Authority to approve domestic travel (Australia is regarded as domestic with the exception of Perth and Darwin)											
Travel for CE is approved retrospectively by the Board Chair on a monthly basis via review of automated travel report											
Travel for DCE's is approved retrospectively by CE on a monthly basis via review of automated travel report											
Travel for Directors and Heads of College is approved retrospectively on a monthly basis via review of automated travel report											
Travel for all other staff is reviewed retrospectively by their formal leader on a monthly basis and will have been approved at time of booking by the formal leader if possible or an independent person as below if formal leader not available											
DCE Business Services, Finance Manager, Senior Financial Analyst & EA's, generally only used for back-up approval if formal leaders are away (and usually after consultation with formal leaders by e-mail if possible)											
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified	
Yes, all staff	All staff	All staff within their area and backup approver if outside their area	All staff within their area and backup approver if outside their area	All staff from their area below tier 3	All staff from their area below tier 4	All staff (backup only)		All staff from their area after getting approval from the CE/DCE			
Policy: Travel on OP Business											

Authority to approve international travel (Australia is regarded as domestic with the exception of Perth and Darwin)											
International travel for CE is approved retrospectively by the Board Chair on a monthly basis.											
All international travel must be discussed, and approved, in advance by the Deputy Chief Executive for the relevant area, and the Chief Executive and fit with the strategic direction of the organisation.											
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	#REF!	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
All staff	All staff excl CE and DCE Corporate Services	All staff from their directorate area	All staff from their directorate area								
Policies: Travel on OP Business & Delegations from the Council to the Chief Executive and Authorities and sub-delegations from the Chief Executive											

Authority to speak to media											
Applicable staff will have undertaken media training, and be conversant with appropriate OP styled responses, before engaging in any public speaking. In the event of a civil event or Campus wide event, only the Chief Executive, ELT, or the Director: Marketing, Sales and Comms is permitted to liaise with media.											
Chief Executive	DCE Corporate Services	ELT	Director: Finance Services	#REF!	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Yes	Yes	Yes		Director Marketing, Sales and Communication						
Policies: Requests for Official Information & Delegations from the Council to the Chief Executive and Authorities and Sub-delegations from the Chief Executive											

Authority to agree employment settlements with individual staff members											
The Chief Executive is the only person who can authorise terminations											
Chief Executive	Chief Operating Officer	ELT	Director: Finance Services	#REF!	Directors/Heads of College	Programme Head	Senior Financial Analyst	EA's	Team Leaders	School Amin/Technician	Not Specified
Yes	Yes		Yes								



Appendix 3 to Otago Polytechnic Policy CP0005

DELEGATED AUTHORITY CHANGE FORM

Notes: Requesting staff member should familiarise themselves with policy CP0005

Must be filled, signed and sent to Finance digitally. To sign save the form on your hard drive first, then click view signatures at the top, then click on the relevant drop down menu on the right and click on sign. When emailing the signed form ensure you attach the original saved on your hard drive by saving and closing the file and then either drag and drop into the email or right click the file and send to mail recipient, or else the signature will be removed. If any issues with digital signature first fill all form fields and then print and sign.

Date:		Department:	
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Name (person completing the form):	
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Reason for Request

Request for New Authority or Change of Existing Authority
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Delegatee Name:		Delegated Role:	
\$ Limit:		Business Unit(S) or Department/School:	

Delegatee acceptance - Required:

I, the above named delegatee, agree that I have read, and accept that I am required to operate within, the delegations policy and applicable schedule/s. I also agree that the delegation is restricted to the limits stated above.

X

Delegatee Signature

Name:

Authorisation - Required (Must be signed by person with the Title listed on the name box below)
--

X

Approver Signature

Name:

Finance Use Only

Request Actioned

Date:	
--------------	--

Name:	
--------------	--

X

Finance Staff Signature



Procurement and Purchasing

Section	Board		
Approval Date	13 March 2021 10 Nov 2021	Approved by	Otago Polytechnic Limited Board
Next Review	30 Nov 2022	Responsibility	DCE: Business Services Corporate Services
Baldrige Criteria	Operations		

PURPOSE

The purpose of this policy is to set out the principles of best practice and minimum standards for the purchase and procurement of goods, services and works by Otago Polytechnic Limited (Ltd).

SCOPE

This policy applies to all purchasing and procurement undertaken by or on behalf of Otago Polytechnic (Ltd), including procurement undertaken by contractors or consultants.

OBJECTIVE

Our purchasing and procurement decisions will be based on our guiding principles which provide a broad framework that supports accountability, sound practice and successful procurement results.

COMPLIANCE

Procurement Guidance for Public Entities – Office of the Controller and Auditor General 2008
<https://oag.parliament.nz/2008/procurement-guide>

Government Procurement Rules <https://www.procurement.govt.nz/assets/procurement-property/documents/government-procurement-rules.pdf>

All procurement and purchasing must meet standards of probity and financial prudence as set out in the *Sensitive Expenditure* Policy. Purchasing must have a justified business purpose, be open and transparent and free from conflict of interest.

POLICY

Otago Polytechnic Ltd is committed to making fair, ethical and defensible purchasing, and procurement decisions. To help guide those decisions, there are Five Principles of Government Procurement set out in the Government Procurement Rules that we must follow:

1. Plan and manage for great results

- Identify what you need, including what broader outcomes should be achieved, and then plan how to get it.
- Set up a team with the right mix of skills and experience.
- Involve suppliers early – let them know what you want and keep talking.
- Take the time to understand the market and your effect on it. Be open to new ideas and solutions.
- Choose the right process – proportional to the size, complexity and any risks involved.
- Encourage e-business (for example, tenders sent by email).

2. Be fair to all suppliers

- Create competition and encourage capable suppliers to respond.
- Treat all suppliers equally – we do not discriminate (this is part of our international obligations).
- Seek opportunities to involve New Zealand businesses, including Māori, Pasifika and regional businesses and social enterprises.
- Make it easy for all suppliers (small and large) to do business with Otago Polytechnic Ltd.
- Be open to subcontracting opportunities in big projects.
- Clearly explain how you will assess proposals – so suppliers know what to focus on.
- Talk to unsuccessful suppliers so they can learn and know how to improve next time.

3. Get the right supplier

- Be clear about what you need, and fair in how you assess suppliers – do not string suppliers along.
- Choose the right supplier who can deliver what you need, at a fair price and on time.
- Choose suppliers that comply with the [Government's Supplier Code of Conduct](#)
- Build demanding, but fair and productive, relationships with suppliers.
- Make it worthwhile for suppliers – encourage and reward them to deliver great results.
- Identify relevant risks and get the right person to manage them.

4. Get the best deal for everyone

- Get best public value – account for all costs and benefits over the lifetime of the goods or services.
- Make balanced decisions – consider the possible social, environmental, economic, and cultural outcomes that should be achieved.
- Encourage and be receptive to new ideas and ways of doing things – do not be too prescriptive.
- Take calculated risks and reward new ideas.
- Have clear performance measures – monitor and manage to make sure you get great results.
- Work together with suppliers to make ongoing savings and improvements.
- It is more than just agreeing the deal – be accountable for the results.

5. Play by the rules

- Be accountable, transparent, and reasonable.
- Make sure everyone involved in the process acts responsibly, lawfully and with integrity.
- Stay impartial – identify and manage conflicts of interest.
- Protect suppliers' commercially sensitive information and intellectual property.

The [Government Procurement Charter](#) sets out Government's expectations of how agencies should conduct their procurement activity to achieve public value.

The New Zealand Government directs agencies to:

Seek opportunities to include New Zealand businesses

Openly work to create opportunities for local businesses and small-to-medium enterprises to participate in your procurement processes.

Undertake initiatives to contribute to a low emissions economy and promote greater environmental responsibility

Ensure that economic and social development can be implemented on a sustainable basis with respect for the protection and preservation of the environment, reducing waste, carbon emissions and pollution.

Look for new and innovative solutions

Make sure you do not overprescribe the technical requirements of a procurement, give businesses the opportunity to demonstrate their expertise.

Engage with businesses with good employment practices

Ensure that the businesses you contract with operate with integrity, transparency and accountability, and respect international standards relating to human and labour rights. For businesses operating within New Zealand, ensure that they comply with all New Zealand employment standards and health and safety requirements.

Promote inclusive economic development within New Zealand

Engage with Māori, Pasifika, and regional businesses and social enterprises to actively contribute to our local economy. Openly working to include and support these businesses and enterprises through procurement will promote both skills development and a diverse and inclusive workforce.

Manage risk appropriately

Responsibility for managing risks should be with the party – either the agency or the supplier – that is best placed to manage the risk. Agencies and suppliers should work together on risk mitigation strategies.

Encourage collaboration for collective impact

Look to support greater collaboration, both across-agency and across-businesses to give likeminded groups the opportunity to find common solutions within your procurement opportunities.

Otago Polytechnic Ltd is not required to comply with the [Government Procurement Rules](#), but will endeavour to conduct procurement activities in a manner that is consistent with the Government Procurement Rules and the Controller and [Auditor General's Procurement Guidance for Public Entities](#), as statements of good practice.

If there is an existing supply arrangement or contract (such as a panel agreement or government collaborative contract) that meets the requirements, it must be used. The procurement and contracts office who are responsible for procurement will advise on available contracts and how to access them. If there is no suitable supply arrangement or contract available, the following table applies

Contract value	Minimum Requirement
Up to \$5k	Quotations optional
\$5k to \$10k	A single written quote
\$10k to \$50k	At least three written quotes
Over \$50,000	Openly advertised procurement process/tender

For procurements over \$50,000 a procurement plan must be prepared and approved by a delegate with the relevant level of authority in accordance with the Delegations Policy before Otago Polytechnic Ltd approaches the market.

Fair Trade

Otago Polytechnic Ltd registered with Fairtrade as a Fairtrade University (Polytechnic) in 2014. The registration with Fairtrade comes with commitments and as part of the response to those commitments Otago Polytechnic Ltd will demonstrate its social and environmental responsibility in the following ways:

- Ensuring that when there are Fairtrade products available at comparable prices these will be considered preferential for purchasing. This includes but is not limited to Fairtrade tea, coffee, sugar, and hot chocolate and includes products used for staffroom supplies and those served at hospitality events
- Selling as many Fairtrade products as is feasible in all campus cafes, restaurants, and shops
- Asking new suppliers to provide Fairtrade options for all relevant products when tendering.

Preferred supplier agreements

Procurements that are of a recurring nature, for example insurance, cleaning, energy, are subject to standard procedures managed by the procurement and contracts office.

Otago Polytechnic Ltd is party to a number of agreements through the All-of-Government State Sector Procurement initiative led by the Economic Development Group within the Ministry of Business, Innovation and Employment, these are not part of the normal purchasing process however they have been rigorously negotiated and represent best value and will be periodically renegotiated by the Ministry.

~~The Chief Executive, DCE Corporate Services or DCE Business Services, under delegated authority (refer to policy Delegations from Board to the Chief Executive and Authorities and Sub-Delegations from Chief Executive), may sign contracts for the procurement of goods or services on Otago Polytechnic's behalf with an agreed preferred supplier or pre-approved vendor.~~

Flexibility to respond

In a genuine emergency, Otago Polytechnic Ltd will need to be flexible in how they procure the goods and services that are required for their response. In these circumstances it is permitted to forgo routine procurement procedures. In

adopting a more flexible procurement process Otago Polytechnic Ltd will consider what is reasonable and justifiable given all of the facts and circumstances they have to hand. Otago Polytechnic Ltd may be permitted to purchase direct from a supplier if the delay involved in conducting a routine procurement (i.e., which involves advertising and competitive tendering) will prevent them delivering the goods or services in time to bring effective relief.

Examples of emergency are:

- Natural or manmade disasters: such as earthquakes, cyclones, tsunamis, volcanic eruptions, flooding, fires, or contamination
- Failures of critical infrastructure or equipment: such as failure of a prison security system or critical hospital infrastructure
- Critical health or environmental emergencies: such as a pandemic or food safety incident
- Political emergencies: such as a war, coup, or civil insurrection in New Zealand or countries where the New Zealand government offers support
- Critical security emergencies: such as a terrorist attack, serious crime, or major cyber security emergency
- Unanticipated events that make it impossible for an agency to perform a statutory or critical function in the necessary timeframe: for example, the destruction of critical election supplies immediately prior to an election would be an emergency for the Electoral Commission.

Accountabilities and Responsibilities

Employees and contractors undertaking procurement	<ul style="list-style-type: none"> • Make sure that all purchasing has appropriate prior approval. • Apply this policy and related policies and guidelines during purchasing and procurement activities. • Understand and apply the Government Procurement Rules and the Controller and Auditor General's Procurement Guidance for Public Entities (good practice guide). • Report any policy breaches. • Complete appropriate training before participating in any purchasing and procurement activities.
Approver / Financial Delegation Holder	<ul style="list-style-type: none"> • Apply this policy when conducting purchasing and procurement activities. • Operate within your financial delegation in accordance with the Delegations Policy when approving purchasing and procurement activities. • Authorise purchasing appropriately, using good judgement and in line with the purchasing and procurement principles.
Finance-Manager Director Finance Services or delegate	<ul style="list-style-type: none"> • Apply this policy and related policies and guidelines during procurement activities. • Understand and apply the Government Procurement Rules and the Controller and Auditor General's Procurement Guidance for Public Entities (good practice guide). • Make sure that all purchasing has appropriate prior approval. • Proactively manage responsibilities within Otago Polytechnic finance systems. • Monitor purchasing and procurement activities, including for compliance with this policy, report policy breaches, and Identify opportunities for new supply arrangements.
Legal Support	<ul style="list-style-type: none"> • Provide assistance with contracts that are large, complex and/or significantly different to any standard terms we may have.
DCE-Business-Services Director Corporate Services (or delegate)	<ul style="list-style-type: none"> • Update, publish, and communicate the procurement and purchasing policy and related guidelines. • Provide leadership and development of Otago Polytechnic Ltd procurement capability.

Recordkeeping

Staff undertaking procurement must maintain records documenting the procurement process, including all recommendations and decisions and the contract as awarded. Records must be kept for at least seven (7) years.

Policy Breaches

If the standards set out in this policy are not met, it may be considered a breach of the policy and disciplinary action may be taken.

If you are aware of a breach or possible breach of this policy, you must raise it with your formal leader.

REFERENCES**Policies**

Sensitive Expenditure Policy

Disclosure of Interests Policy

Delegations from Council to the Chief Executive and Authorities and Sub-delegations from Chief Executive Policy

Intellectual Property

Otago Polytechnic website – [About Us > Governance and management > Tenders](#)

[RFP template available on Otago Polytechnic Intranet site or by contacting Otago Polytechnic Contracts Manager](#)

[Ministry of Business, Innovation and Employment – Procurement Guidance](#)

Approved by: Adam La Hood
Chair: Board of Otago Polytechnic Limited

Date: 18 November 2021



Credit and Purchasing and Credit Cards

Section	Board		
Approval Date	3 March 2021 <u>18 Nov 2021</u>	Approved by	Otago Polytechnic Limited Board
Next Review	1 April 2022 <u>30 Oct 2022</u>	Responsibility	DCE: Business Services <u>Corporate Services</u>
Baldrige Criteria	Operations		

PURPOSE

To provide guidelines and procedures for staff who hold purchasing cards for use in limited procurement of goods and services. Purchasing cards include credit cards, fuel cards and any other cards that are used to pay for goods or services.

COMPLIANCE

This policy encompasses all the activities and operations of the Polytechnic, including any controlled entities, and applies to the Polytechnic Board members, employees (including permanent, fixed term and casual), secondees, contractors and consultants.

POLICY

1. All card expenditure is to meet standards of probity and financial prudence and should be considered in conjunction with the *Sensitive Expenditure* policy.

Application Process

2. A staff member in conjunction with their manager may apply for a purchasing card, on demonstration of a business need. This includes regular travel off campus and other valid expenditure payable by purchasing card that is not covered by the purchase order process.
3. New cardholders will be required to complete a Card holder Agreement form (Conditions of use) – Appendix 1 – this will then be authorised by ~~either the DCE: Corporate Services, and the DCE: Business Services and by the Finance Manager~~ Director Finance Services.
4. Individual card limits are set in conjunction with the staff member and their manager and will be the minimum necessary to enable the card holder to undertake their duties for the Polytechnic.

Responsibilities

5. The card holder is responsible for adhering to the Purchasing Card parameters, including the individual billing cycle limit as applicable.
6. Each card is issued in the name of the card holder and they (the card holder) must abide by the terms and conditions of card use advised by the bank at the time of issue and any subsequent amendment.
7. Card details should not be saved online unless required for regular subscription/service provision.
8. The card is to be used only for business-related purchases. Personal charges should not be made against the card. If this happens in error, the charges must be reimbursed as soon as possible.
9. Where improper use of a purchasing card is suspected the purchase record will be discussed and verified with the card holder's formal leader. This will alleviate the issues that may arise from emergency or inadvertent misuse. However, if proven to be improper use this will be considered as misappropriation of the organisation's funds and is likely to result in disciplinary action and/or revocation of the card. Fraudulent use may result in the instigation of legal proceedings.
10. The card holder may not use the card to obtain cash, either directly or indirectly, from ATM's, EFTPOS terminals and bank branches except with prior authorisation by the DCE Corporate Services or ~~the DCE: Business Services~~ Director Finance Services.
11. The card holder is responsible for adequately securing the card from loss and theft. However, if this occurs, they must immediately notify the Card Provider to indemnify the organisation from further debt, then advise the Director: Finance Services ~~DCE: Business Services and/~~ or a Senior Financial Analyst.
12. The card holder is responsible for timely notification of disputed transactions appearing on the cardholder



statement, in accordance with Westpac's timelines.

13. The card holder is the only person entitled to use the card and is responsible for all charges made against the card while it is in their possession.
14. The card holder is required to surrender their purchasing card upon resignation or termination of employment with the Polytechnic.

Approvals of expenditure

15. Card expenditure must be approved in line with Appendix One of the Delegations Policy. This should be by a staff member senior to the card holder where possible and should be given before the expenditure is incurred wherever practical.
16. Expenditure at a function should be paid using the card of the most senior person attending and should be approved by a staff member who is not at the function.
17. The use of the Chief Executive's card should be reviewed and authorised by the Chair of the Board.
18. In approving any expenditure on any Otago Polytechnic Ltd card, the individual approving must be satisfied that it has been used for a justified business purpose.

Finance Manager/Director: Finance Services responsibilities

19. The Finance Manager/Director: Finance Services is responsible for:
 - 19.1 Monitoring and reporting on card use
 - 19.2 Ensuring that cards are cancelled with the bank when they are no longer required
 - 19.3 Ensuring that cards are physically destroyed when they are no longer required
 - 19.4 Maintaining a register of card holders
 - 19.5 Applying standard card limits for each area of responsibility
 - 19.6 Recording on the register any variation to the agreed card limit
 - 19.7 Reporting the list of card holders and limits annually to the Finance and Audit/Audit and Risk Committee
- The Finance Manager/Director: Finance Services may delegate these responsibilities to a Senior Financial Analyst.

Card reconciliations and documentation

20. The card holder is required to review the monthly card holder statement within the nominated time frame through the online web expenses system. This includes uploading copies of supporting documentation to verify the transactions recorded against the purchasing card and allocating a General Ledger code for each transaction, thereby enabling your designated approver to verify and authorise the transactions. Authorisation is to be completed within four working days of the month following the end of the billing period.
21. Documentation requirements are no different to normal procurement processes involving invoices and purchase orders. This is to provide a valid audit trail and evidence for subsequent review and GST claims. The documentation needs to be a valid tax invoice not just an EFTPOS docket.
22. If any of the supporting documentation is missing the card holder must complete and sign a "No supporting document" form available on Tūhono and this must be signed off by the delegated authoriser. Reoccurring instances of missing documentation will result in the card being cancelled.

REFERENCES

Policies:

- Delegations from the Board to the Chief Executive and Authorities and Sub-delegations from Chief Executive
- Procurement and Purchasing
- Sensitive Expenditure
- Disclosures of Interests

Approved by: Adam La Hood
Chair, Otago Polytechnic Ltd Board

Date: 18 November 2021

Appendix 1

CARDHOLDER AGREEMENT
CONDITIONS OF USE

<p>CARDHOLDER DETAILS</p> <p>Full name of Cardholder</p> <p>Position</p> <p>Business Address</p> <p>Department</p>

Your participation in the Westpac MasterCard Purchasing Card Programme carries the responsibility of complying with the Purchasing Cards policy. Although the card is issued in your name, it should be considered Polytechnic property and used with good judgment. Your signature on this Cardholder Agreement signifies your acceptance of the Policy and your agreement to comply with the policy.

CARDHOLDER CERTIFICATION

I, _____,
have read and agree to comply with policy Otago Polytechnic Purchasing Cards.

Signature _____ Date _____

Designation _____

AUTHORISED SIGNATORY CERTIFICATION

We, _____, as Authorised Signatories of the Otago Polytechnic Purchasing Card Program hereby authorise the issue of Westpac MasterCard Purchasing Card to the card holder nominated above.

Signature _____ Date _____

Designation _____

Signature _____ Date _____

Designation _____

Conflicts of Interest

Section	Board		
Approval Date	18 March 2021 11 Nov 2021	Approved by	OP Board
Next Review	1 March 2023 30 Nov 2022	Responsibility	Chief Executive Chair: Board
Baldrige Criteria	Workforce		

PURPOSE

Public trust and confidence in Otago Polytechnic Limited (Ltd) depend upon our ability to be impartial in all decision making. This means everyone working at Otago Polytechnic Ltd needs to use a high standard of judgement when declaring and managing conflicts of interest.

This policy sets out Otago Polytechnic Ltd's requirements for identifying and managing conflicts of interest.

COMPLIANCE

[Employment Relations Act 2000](#)

[State Sector Act](#)

[Local Authorities \(Members' Interests\) Act 1968](#)

[Controller and Auditor General – Managing conflicts of interest: A guide for the public sector \(June 2020\)](#)

SCOPE

This policy applies to all Otago Polytechnic Limited Board members, staff (permanent, fixed term, casual and temporary), secondees and to all contractors and consultants. This policy outlines the process to be followed when any person covered by this policy has a conflict of interest.

PRINCIPLES AND EXPECTATIONS

What is a Conflict of Interest?

A conflict of interest is any situation where your independence, objectivity or impartiality could potentially be doubted or challenged. A conflict of interest can happen when your official duties and your personal interests or responsibilities overlap. These may include financial involvements and/or relate to family, friends, acquaintances or other personal commitments or responsibilities. Conflicts of interest can be pecuniary or non-pecuniary or both.

A conflict can be:

Actual	A conflict exists now between your official duties and your personal interests or responsibilities.
Potential	A conflict could happen or is about to happen.
Perceived	A situation where other people might reasonably think a conflict exists.

It is important to understand that the existence of a conflict of interest does not necessarily imply wrongdoing on the part of any person. However, any interest which either does, or could, give rise to a conflict of interest must be disclosed to Otago Polytechnic Ltd.

All Otago Polytechnic Staff Obligations

To protect the reputation of Otago Polytechnic Ltd, Te Pūkenga and the wider education sector, and to protect Otago Polytechnic Ltd's relationships with our stakeholders, Government Ministers, students and the public, you must:

- Carry out your work with honesty, integrity, impartiality, fairness, and trustworthiness, and ensure personal interests and responsibilities do not affect your ability to do this. Avoid situations in which your personal interests' conflict, or could appear to conflict, with the interests of Otago Polytechnic Ltd.
- Ensure that your actions do not give anyone reason to question the fairness and transparency of our decision making.
- Tell your Formal Leader immediately if your role involves monitoring performance of an Otago Polytechnic Ltd supplier, contractor, or consultant where you may have a conflict of interest (actual, potential or perceived).
- Not employ a family member or other related party (any person who has a relevant personal relationship with you) as your direct report or in any other situation which could cause a conflict of interest.
- In accordance with the requirements set out below, seek approval from Otago Polytechnic Ltd for any other employment, self-employment, contracts, or assignments (paid or unpaid) outside of your official duties at Otago Polytechnic Ltd that could give rise to a conflict of interest and advise Otago Polytechnic Ltd of any potential impacts on Otago Polytechnic Ltd, prior to entering such an arrangement.
- Disclose any conflicts of interest or potential conflict of interest by completing the interests register (appendix one) and sending to People and Culture or the Chief Executive Office if you are tier three or above.

Secondary Engagements/Self-employment

You must not take up any other employment, contract, assignment, or self-employed activity (paid or unpaid) that could give rise to a conflict of interest, unless Otago Polytechnic Ltd agrees to this in writing. Where there is any potential for a conflict of interest, you should raise this with your formal leader for Otago Polytechnic Ltd to determine whether a conflict exists. Only formal leaders with the appropriate delegation may determine whether a conflict of interest exists. Otago Polytechnic Ltd may decline to approve the other employment, contract assignment or self-employed activity where it considers there is a conflict of interest. This may include a situation where the employment, contract, assignment, or self-employed activity is or could become detrimental to Otago Polytechnic Ltd, Otago Polytechnic Ltd learners, you, your performance, or another employee, contractor, or consultant of Otago Polytechnic Ltd.

Where approval is given:

- The impact on you (and your ability to perform work for Otago Polytechnic Ltd) and those with whom you come into contact, will be monitored by Otago Polytechnic Ltd.
- The arrangement will be reviewed at least annually, when circumstances change, or at Otago Polytechnic Ltd's sole discretion. You must actively participate and engage in this review to enable Otago Polytechnic Ltd to assess what impact, if any, the arrangement is having on Otago Polytechnic Ltd, Otago Polytechnic Ltd learners, you, or those you come into contact within the course of performing your duties.
- You must seek further approval prior to any change to the approved arrangement or a new arrangement commencing.

Otago Polytechnic Limited Leaders Obligations

To disclose a conflict of interest or potential conflict of interest, the Chief Executive and tier two and three leaders engaged by Otago Polytechnic Limited must enter their interests on a register of interests (the "Interests Register"). The interests register is maintained by the Chief Executive's Office (Jeanette Corson). Leaders should e-mail Jeanette as soon as they become aware of a conflict of interest or potential conflict of interest and include all information as set out in appendix 1 to this Conflict of Interest Policy. The Interests Register will be circulated annually to all leaders.

The Chief Executive and tier two and three leaders engaged by Otago Polytechnic Ltd, are asked to declare potential interests:

- When they start in a leadership role.
- Each year, as part of the annual process, even if they do not have a conflict of interest.
- Whenever their personal or work situation changes in a way that would or could create a conflict of interest.

Board Members' Obligations

Board members must disclose interests on commencement of their term and advise the Board Secretary of any new interests as they arise.

Board members who have an interest in a matter being considered or about to be considered by the Board, must disclose the nature of the interest at a Board meeting, as soon as possible after the relevant facts have come to the Board member's knowledge.

A disclosure by a Board member must be recorded in the minutes of the meeting.

The Board member must not be present during any deliberation, nor take part in any decision, of the Board with respect to the matter unless the Board otherwise agrees.

Conflicts of interest will be a standing agenda item at all Board meetings.

Management of conflicts of interest

You must comply with any strategies and monitoring procedures for managing a conflict of interest determined by Otago Polytechnic Limited.

These may include, without limitation:

- in the case of Board members, not being present during any deliberation, nor taking part in any decision, of the Board with respect to the matter unless the Board otherwise agrees.
- regularly declaring any contact and matters discussed with a particular person or entity.
- signing additional confidentiality undertakings.
- not being involved in a procurement or other project in relation to which a person has a conflict of interest.
- not being involved in the recruitment process if a person applying is a close friend or relative.
- not managing a contract in relation to which a person has a conflict of interest.
- not exercising delegations in respect of the matter.

Breaches of this policy

Failure to disclose a conflict of interest or breaches of this policy ~~on the part of an employee or seconde~~ may result in disciplinary action up to and including dismissal without notice. For contractors, the outcome could result in termination of the contract and/or legal action being taken by the Otago Polytechnic Ltd.

Process for raising concerns

If you have reason to believe that a conflict of interest has not been appropriately declared or that the actions taken do not appropriately or sufficiently mitigate the conflict, you should report these concerns to your formal leader. If the concerns are in relation to your formal leader you should raise this with the Te Kaihāpai.

Approved by: Adam La Hood
Chair: The Otago Polytechnic Limited Board

Date: 11-18 November 2021

Appendix 1: Interests Register**OTAGO POLYTECHNIC LIMITED INTERESTS REGISTER**

Register to be maintained for tier three and up and kept by the Chief Executive's office
 Register to be kept by People and Culture for all other staff

Date Updated	Name	Interest Disclosed	Nature of Potential Conflict of Interest with Otago Polytechnic	Pecuniary or non-pecuniary	Agreed approach to manage
	<i>Name of individual</i>	<i>Summary of the COI declared, including relevant details of the other parties involved, the nature and type of COI.</i>			<i>Steps Board agree should be taken if a COI requires an active management plan - if no actions are needed in response to a COI this should also be recorded.</i>



Sensitive Expenditure Policy

Section	Board		
Approval Date	18 March 11 Nov 2021	Approved by	OP Limited Board
Next Review	01 Mar 2023	Responsibility	Deputy Chief Executive: Business- Services Corporate Services
Baldrige Criteria	Process Management		

PURPOSE

Otago Polytechnic Limited (Ltd) spends public and private money, and all such spending must meet standards of probity and financial prudence that will enable it to withstand Parliamentary and public scrutiny. The primary purpose of all expenditure should be for the benefit of Otago Polytechnic Ltd.

This policy will support understanding of and set out the responsibilities for appropriately using public funds for sensitive expenditure.

COMPLIANCE

Scope

This policy encompasses all the activities and operations of the Polytechnic, including any controlled entities, and applies to the Polytechnic Board members, employees (including permanent, fixed term and casual), secondees, contractors and consultants.

POLICY

Definitions

"Sensitive expenditure" refers to expenditure that provides, has the potential to provide, or is perceived to provide a private benefit to an employee, secondee, contractor, Board member, or consultant (or a party related to these), that is additional to the business benefits the Polytechnic derives from the expenditure. It also includes expenditure by the Polytechnic that could be considered unusual for the Polytechnic's purpose and/or functions.

Sensitive expenditure is discretionary expenditure and choices can be made about the type, level or nature of expenditure and the expenditure can be perceived to have an element of personal benefit. Sensitive expenditure may include, but is not limited to:

- Travel – air, car rentals, taxis, private mileage, accommodation, meals
- Using mobile devices and communication technology
- Entertainment and hospitality
- Gifts (both giving and receiving)
- Individual training or professional development

It is the circumstances in which the expenditure occurs, together with the materiality of the expenditure, which will determine whether it is potentially sensitive.

Sensitive Expenditure at Otago Polytechnic Ltd

Sensitive expenditure will be consistent with accountability and responsibility standards that the public expects of public servants using taxpayer money, as set out in the guidelines from the Office of the Auditor-General titled "Controlling sensitive expenditure: Guidelines for public ~~entities~~organisations":

<https://oag.parliament.nz/2020/sensitive-expenditure>

Otago Polytechnic Ltd people will work ethically, responsibly and with integrity. The principal purpose of all expenditure incurred by Polytechnic people should be for the benefit of Otago Polytechnic Ltd. Having undertaken official duties, no one should:

- Be out of pocket
- Have any personal gain or benefi

The **principles** applying to sensitive expenditure decisions require that the decisions:

- have a justifiable and dominant business purpose;
- preserve impartiality;
- are made with integrity;
- are moderate and conservative, having regard to the circumstances;
- are made transparently; and
- made with proper authority.

Applying Judgement in Decision Making

All expenditure must withstand internal and external scrutiny. To ensure this, apply these standard tests before you incur or approve expenditure:

- Could the Polytechnic confidently justify this expenditure to the Minister, a taxpayer, a stakeholder or other interested party?
- Is the primary purpose for the expenditure to benefit Otago Polytechnic Ltd?
- Does the expenditure support the Polytechnic's functions? If so, what are the specific organisational benefits?
- Would publicity on the expenditure reflect a well-managed and prudent Polytechnic?
- Is the expenditure moderate, appropriate to the occasion and good value for money?

Managing Expenditure

Follow these steps to ensure measurement of expenditure:

- Explanations should be documented for any discretionary expenditure, particularly sensitive expenditure such as travel, entertainment, internal events, or expenses that may appear unusual.
- All expenditure must be within budgetary authority and be authorised and approved according to relevant policies, procedures, and guidelines.
- Use the standard judgement tests above to evaluate if an expense is reasonable and that it complies with the Polytechnic's standards of appropriate spending.
- If you have any doubt at all, check with your Formal Leader or do not approve the expense.

Approvals

Sensitive expenditure should be approved:

- where it meets the standards described in this policy
- before the expenditure is incurred wherever practical
- in accordance with delegated authority, associated policies, and budgetary provision
- by a person "one-up" from the person/s perceived to benefit from the expenditure, where possible, or by the ~~DCE: Corporate Services~~ Director: Finance Services, ~~the DCE: Business Services, the Finance Manager~~ or a Senior Financial Analyst in a backup capacity.

Claims

Claims relating to sensitive expenditure should:

- clearly state the business purpose;
- be accompanied by supporting documentation, correctly coded; and
- be submitted promptly after the expenditure is incurred.

Breaches of Policy

Non-compliance with this policy may result in disciplinary action up to and including dismissal without notice. For contractors and consultants, non-compliance may result in the immediate termination of the contract for service.

The first instance of breach of this policy will be referred to the staff member's Formal Leader, any additional instances will be referred to the ~~Deputy Chief Executive: Business Services~~ Director: Finance Services.

REFERENCES

Policies:

- ~~Delegations from the Board to the Chief Executive~~ and Authorities and Delegations from the Chief Executive
-

- Procurement and Purchasing
- ~~Authorities and Delegations from the Chief Executive~~
- Mobile Communications
- Otago Polytechnic Purchasing and Credit Cards
- Internal Staff Functions, Gifts and Recognition
- Asset Management (Operational – Acquisition and Disposal)
- Travel on Otago Polytechnic Business
- Staff Development

Other

~~<https://oag.parliament.nz/2020/sensitive-expenditure>~~

Approved by: Adam La Hood
Chair, Otago Polytechnic Ltd Board

Date: 18 November 2021



Otago Polytechnic Limited

BOARD PACK

for

Otago Polytechnic Limited (The Company) Meeting of the Board (Closed)

Thursday, 18 November 2021

1:45 pm

Held at:

Puna Kawa

Level 2, Mason Centre
Otago Polytechnic
Forth Street
Dunedin

OTAGO POLYTECHNIC LIMITED BOARD PAPER	
CLOSED AGENDA	DATE: 18 NOVEMBER 2021
ITEM: RESOLUTION TO EXCLUDE THE PUBLIC	
RESOLUTION That under Section 48 (1) Local Government Official Information and Meetings Act 1987, and the Official Information Act 1982, with the exception of Executive Leadership Team members the public be excluded from the meeting.	

The general subject of each matter to be considered while the public is excluded, under section 48 (1) of the Local Government Official information and Meetings Act 1987 and the Official Information Act 1982, and the reasons for passing this resolution in relation to each matter are as follows:

General subject of each matter:

1. Conflict of Interest
2. Confirmation of Minutes
3. Matters Arising/Actions
4. Reporting Timeframes
5. Chief Executive/Tumu Whakarae
6. TANZ eCampus
7. Finance
8. Health and Safety
9. Capital Commitments
10. Campus Development
11. Komiti Structure
12. Risk
13. Work Environment Survey
14. Graduate Outcomes
15. Facilities Update
16. Contracts Signed
17. Executive Leadership Team Gifts Register
18. Audit and Risk Committee
19. Appendices – Finance Reports

Reasons for passing this resolution in relation to the agenda:

Enable the polytechnic holding the information to carry out, without prejudice or disadvantage, commercial activities.

Prevent the disclosure or use of official information for improper gain or improper advantage