

# COUNCIL

## Te Kaunihera o Te Whare Wānanga o Waitaha

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**EMBARGOED UNTIL 4pm WEDNESDAY 25 MARCH 2020**

## Agenda

Date      **Wednesday 25 March 2020**  
Time      4.00pm  
Venue     Council Chamber, Matariki

Refer to  
Page No.

1. APOLOGIES: Professor Roger Nokes (attending via videoconference)
2. CONFLICTS OF INTEREST  
*Every Member has an obligation to declare any material interests relevant to any University of Canterbury activities and to ensure that any conflict arising from the material interests is noted and managed appropriately*
3. MINUTES
  - 3.1 26 February 2020 1-6
4. MATTERS ARISING
5. FROM THE CHANCELLOR 7
  - 5.1 Chancellor's Meetings 9
  - 5.2 Council Work Plan
  - 5.3 Degrees Conferred in Absentia
6. FROM THE VICE-CHANCELLOR 11
  - 6.1 Monthly Report 13-24
7. FROM THE AUDIT AND RISK COMMITTEE 25
  - 7.1 Health, Safety and Wellbeing Report (Mr Paul O'Flaherty, Director Human Resources, in attendance) 27-36
  - 7.2 Internal Audit Update 37-38
  - 7.3 UC Trust Funds
    - 7.3.1 Charities Commission Registration 39-51
    - 7.3.2 Proposal for Four Remaining Trusts 53-56
8. FROM THE FINANCE, PLANNING AND RESOURCES COMMITTEE 57
  - 8.1 CAPEX Quarterly Report to 31 December 2019 59-66
9. ACADEMIC BOARD

10. PUBLIC EXCLUDED MEETING

Motion by the Chancellor for Resolution to Exclude the Public Pursuant to s48 of the Local Government Official Information and Meetings Act 1987:

**I move that the public be excluded from the following parts of the proceedings of this meeting, namely:**

Item on Public Excluded Agenda	General Subject Matter	Reason for passing this resolution in relation to each matter	Grounds under section 48(1) for the passing of this resolution
4.0	Minutes of the meeting held on 26 February 2020 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.	
5.0	Matters arising from those minutes		
6.0	<b>From the Chancellor</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
7.0	<b>From the Vice-Chancellor</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
7.1	The Vice-Chancellor's report		
7.2	Coronavirus Update		
		To enable the free and frank expression of opinions by or between or to members or officers or employees of the University. To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(f)(i) 7(h)
8.0	<b>From the Audit and Risk Committee</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
8.1	Draft Minutes 16 March 2020		
8.2	Strategic Risk Report		
8.3	IT Risks and Issues		
8.4	Final Audit NZ Management Report		
8.5	High Voltage Lab Fire Update		
9.	<b>From the Finance, Planning and Resources Committee</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
9.1	Draft minutes FPRC meeting 16 March 2020		
9.2	Campus Energy		
9.3	Rehua Mediation Update		
9.4	Financial Forecast		
		To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
		To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)

9.5	Student First Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.  To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)  7(h)
10.0	<b>General Business</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)

**I also move that staff identified by the Chancellor and Vice-Chancellor as having knowledge relevant to particular matters to be discussed be permitted to remain at this meeting. This knowledge will be of assistance in relation to the matters discussed, and is relevant because of their involvement in the development of the reports to Council on these matters.**

11. REPORT FROM THE PUBLIC EXCLUDED SESSION
12. GENERAL BUSINESS
13. NEXT MEETING –Wednesday 29 April, 2020



# COUNCIL

## Te Kaunihera o Te Whare Wānanga o Waitaha

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### Minutes

Date	<b>Wednesday 26 February 2020</b>
Time	4.00 pm
Venue	Council Chamber, Level 6 Matariki
Present	Ms Sue McCormack (Chancellor), Professor Cheryl de la Rey (Vice-Chancellor), Mr Steve Wakefield (Pro-Chancellor), Mr Peter Ballantyne, Ms Liz Bond, Ms Rachael Evans (via video link), Ms Keiran Horne, Ms Tori McNoe, Professor Roger Nokes, Mr Warren Poh, Ms Gillian Simpson, Mr Shayne Te Aika (from 4.10pm).
Apologies	Mr Shayne Te Aika (lateness)
In Attendance	Mr Jeff Field, University Registrar and Council Secretary Professor Ian Wright, Deputy Vice-Chancellor Mr Keith Longden, Chief Finance Officer Mr Adrian Hayes, Financial Controller Mrs Raewyn Crowther, University Council Coordinator

**WELCOME** The Chancellor welcomed Ms Rachael Evans to her first meeting having been appointed to Council by the Minister for a four year term ending on 25 February 2024. Ms Evans joined the meeting by video link.

**CONFLICTS OF INTEREST** There were no conflicts advised for the public section of the meeting.

**MINUTES** The minutes of the meeting held on 27 November 2019 were approved and signed as a correct record with the addition of a further sentence on the CAPEX item in relation to Garden Hall: “Council agreed that health and safety must be given priority.”

**MATTERS ARISING** None

**FROM THE CHANCELLOR** **Chancellor’s Meetings**  
The schedule of meetings was noted for information.

Moved

**That: Council note the report of the Chancellor’s meetings.**

Carried

### **Council Work plan**

An updated copy of the Work Plan was tabled and Mr Field highlighted the changes made since the last meeting noting that items had been removed from the plan to enable reprioritisation in light of the implementation of the new strategy. Council requested the items be reinstated on the plan so that they are not lost sight of. Further discussion would take place at the Council Strategy Day on 28 May with a view to formulating the University's priorities for the next decade.

The Council meeting on 27 May would incorporate a tour of the Dovedale campus with the meeting being held at a venue there.

Moved

**That: Council note the Council work plan.**

Carried

### **Honorary Awards and Honours Conferred by the University Council Policy Review**

The amendments were noted.

Moved

**That: Council approve the revised Honorary Awards and Honours Conferred by the University Council Policy.**

Carried

### **Degrees Conferred in Absentia**

Ms McCormack advised Council that the schedule of degrees awarded in absentia had been approved and the names of the graduates were entered into the public record.

Moved

**That: The Council approve the degrees awarded in absentia for the public record.**

Carried

### **FROM THE VICE- CHANCELLOR**

#### **Monthly Report**

Professor De la Rey presented her report noting:

- The report had been presented in a new format to align with the new strategy and reflect a “one university” approach.
- Domestic enrolment numbers were up while international full fee paying student numbers had been impacted by the travel ban from China.
- Domestic Pasifika enrolment was down despite active recruitment in that area. This would remain a priority with undergraduate scholarships being reinstated for 2021.
- UC was working with the other universities and Ministries to address the coronavirus issues, with the sector holding concerns for the longer term impact of students from China opting to attend other universities. UC was preparing plans to meet the conditions that would be placed if the travel ban was relaxed for tertiary students. The situation was changing rapidly and would change further if the World Health Organisation declared a pandemic.

- Staff were being advised that travel on UC business would only be approved if essential. Insurance would not cover any issues relating to the virus but costs would be met by UC in those circumstances.
- The Vice-Chancellor would be sponsoring the Universities NZ Learner Success Group.
- A revised proposal for University energy supply would come to the March Council meeting.
- Messages of sympathy had been sent to the family of a student who had died from meningitis. Students were being reminded to seek vaccination.

Moved

**That: Council note the Vice-Chancellor's Monthly Report.**

Carried

## **FROM THE ACADEMIC BOARD**

Professor Wright presented the report noting that:

- Navitas had been audited by NZQA and received the highest level of assurance.
- The Interim Code for Pastoral Care had been discussed.
- The Academic Board review had been discussed at the meeting following a long review process that began in 2015.
- The Board had resolved that the Vice-Chancellor would be Chair of the Board and that she would appoint a senior academic (not an SMT member) as deputy chair.
- A number of other motions were defeated in areas such as delegates and the size of the Board and it was agreed that further time was needed for the relationship with the VC to develop and the new strategy to be implemented, before this would be considered again.
- It was agreed that the report of the Working Group be provided to Council.

In discussion it was noted that the Board operated effectively through its subcommittees which reported to the full Board but there were two distinct views on the Board as to its purpose – a forum for democratic debate or a peak academic body to provide academic advice to Council. An organisational culture shift was required to see the university as a single institution rather than each separate arm of the organisation needing representation on the Board. This was a matter that would be further discussed at the Council Strategy Day.

Moved

**That: Council note the report of the Academic Board.**

Carried

**PUBLIC EXCLUDED** Moved  
**MEETING**

***That: the public be excluded from the following parts of the proceedings of this meeting, namely:***

Item on Public Excluded Agenda	General Subject Matter	Reason for passing this resolution in relation to each matter	Grounds under section 48(1) for the passing of this resolution		
4.0	Minutes of the meeting held on 27 November 2019 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.			
5.0	Matters arising from those minutes				
6.0 6.1	<b>From the Chancellor</b> Pro-Chancellor Election	To protect the privacy of natural persons.	7(a)		
6.2	Honours and Appointments Committee Report	To protect the privacy of natural persons.	7(a)		
6.3	Emeritus Professor nomination	To protect the privacy of natural persons.	7(a)		
7.0	<b>From the Vice-Chancellor</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)		
7.1	The Vice-Chancellor's report				
7.2	Student death debrief			To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
7.3	UC Futures – Fulfilment of Crown Funding Agreement			To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
7.4	Education and Training Bill Update			To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
7.5	Coronavirus Update			To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
8.0	<b>From the Audit and Risk Committee</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)		
8.1	Minutes 3 February 2020				
8.2	Draft Minutes 17 February 2020			To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
8.3	Annual Report 2019			To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
8.4	Audit Opinion			To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.5	Representation letters	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)		



9.	<b>From the Finance, Planning and Resources Committee</b>		
9.1	Draft minutes FPRC meeting 17 February 2020	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
9.2	Rehua Budget Increase	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.3	PCI DSS Update	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.4	Student First Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.5	Entry Strategy for Mass Online Education	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
10.0	<b>General Business</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)

*and that staff identified by the Chancellor and Vice-Chancellor as having knowledge relevant to particular matters to be discussed be permitted to remain at this meeting. This knowledge would be of assistance in relation to the matters discussed, and was relevant because of their involvement in the development of the reports to Council on these matters.*

Carried

## **RETURN TO PUBLIC MEETING**

Council returned to public meeting at 7.15pm and confirmed for the public record:

- The confirmation of the appointment of Mr Steve Wakefield as Pro-Chancellor for a term ending on 31 January 2021.
- The award of the title Professor Emeritus to Professor Tim David.

## **FROM THE AUDIT AND RISK COMMITTEE:**

### **Adoption of the Annual Report**

The Council confirmed the resolutions passed with the public excluded:

Moved

***That:** subject to finalisation of matters with Audit NZ, Council:*

- Adopt the draft Annual Report 2019*
- Approve the Chancellor and the Vice-Chancellor to sign the representation letter on behalf of Council.*

Carried

**GENERAL  
BUSINESS**

There were no items of general business.

The meeting ended at 7.20pm.

**NEXT MEETING**

The next meeting was scheduled for 4.00pm on Wednesday 25 March 2020.

SIGNED AS A CORRECT RECORD: \_\_\_\_\_

DATE: \_\_\_\_\_

## Report to the Council from the Chancellor

The Chancellor recommends:

1. Chancellor's Meetings

***That: Council note the report of the Chancellor's meetings***

2. Council Work Plan

***That: Council note the Council work plan.***

3. Degrees conferred in absentia

***That: Council note the degrees awarded in absentia for the public record.***

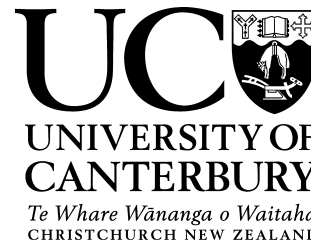
Ms Sue McCormack  
Chancellor  
18 March 2020



# Memorandum

## Chancellor's Office

Email: [chancellor@canterbury.ac.nz](mailto:chancellor@canterbury.ac.nz)



<b>To:</b>	Council Members
<b>From:</b>	Sue McCormack, Chancellor
<b>Date:</b>	18 March 2020
<b>Subject:</b>	<b>CHANCELLOR'S MEETINGS</b>

I outline for you the key events I have attended on behalf of UC since the last Council meeting. Items marked with an asterisk indicate events at which I gave a speech. Those speeches can be found on the Council Sharepoint site.

- Met with Vice-Chancellor
- Attended Pasifika Welcome Day
- Chaired Council meeting
- Chaired a meeting of the Vice-Chancellor Employment Committee
- Conducted one-on-one interviews with Council members
- Met with LU Chancellor Bruce Gemmell
- Attended a meeting of the Canterbury Museum Trust Board
- Met with Council Co-ordinator
- Met with the Vice-Chancellor
- Met with Katherine Anderson
- Met with LU Vice-Chancellor and Chancellor
- Met with new Council member, Rachael Evans
- Met with Vice-Chancellor and HR Director, Paul O'Flaherty
- Attended a meeting of the Audit and Risk Committee
- Attended a meeting of the Finance, Planning and Resources Committee
- Hosted a farewell function for Alex Hanlon

Meetings planned between today and the Council meeting on 25 March:

- Meeting with the Registrar

A handwritten signature in black ink, appearing to read 'Sue McCormack'. The signature is stylized and cursive.

Sue McCormack  
Chancellor



## Report to the Council from the Vice-Chancellor

The Vice-Chancellor recommends:

1. Vice-Chancellor's Monthly Report

***That: Council note the Vice-Chancellor's Monthly Report.***

Professor Cheryl de la Rey  
Vice-Chancellor  
18 March 2020





# Vice Chancellor's Report to Council

March 2020

## Summary

At this time the well-being of our staff and students is uppermost in our minds as we navigate uncharted waters in dealing with the global COVID-19 pandemic and its impact on Aotearoa/New Zealand.

The University's Incident Management Team (IMT) is fully activated and is engaged with key stakeholders in planning for a variety of scenarios. Each morning I meet with the IMT to assess the latest information and revise our emergency response plans accordingly. Using expert advice particularly from health authorities, information and guidance on a wide range of issues is being made available to students and staff. This is updated daily, in part based on questions and issues raised by staff and students.

Our educators are pulling out all the stops to provide flexible and online learning options for students who are stuck offshore; who might be in isolation in the coming months and in preparation for partial or full closure. This includes beefing up our delivery through Learn, our online learning management system, ECHO 360, and using Zoom video conferencing.

The financial impact of the COVID-19 pandemic is being estimated and the scenarios that may play out continue to be modelled. Using enrolments to the end of February, the enrolment forecast projects 2020 full year enrolments of 15,320 EFTS, a 3% increase overall on 2019's final result, comprising 13,523 domestic (4% growth) and 1,797 international fee-paying EFTS (4% decrease). This equates to a 3% decrease on budget EFTS expectations, despite being an overall increase over last year. At this stage, the biggest negative impact on enrolments is on our international enrolments, however, this may change if the University has to close for some, or all, teaching.

In compliance with the latest guidelines, all events and gatherings have been deferred or cancelled. Regrettably, the April graduation ceremonies have had to be cancelled. Degrees will be conferred in absentia and our intention is to host celebratory occasions later in the year.

In spite of the disruptive impact of COVID 19, we have made a concerted effort to continue to focus on the implementation of the new strategy but there is a high likelihood that we will not fulfil all our 2020 goals. Within each subsection of this report, the impact of COVID 19 is signalled based on current information.

## Engagement

Our strategy aims to increase the University's presence and impact on Ōtautahi Christchurch and Waitaha Canterbury. In the initial stages of ramping up our engagement with our local partners, we have begun to develop a number of Memoranda of Understanding. The early agreements are with ChristchurchNZ and Paralympics NZ. These agreements reflect UC's increasing focus on

partnership and collaboration within a more structured framework, where we can measure progress and outcomes on a regular basis. Whilst progress in this area has slowed down due to each partner being focussed on managing the immediacy of COVID 19, there have been some important developments.

UC Business School academics, Professor Jędrzej Białkowski and Dr Moritz Wagner have partnered with the New Zealand Shareholders Association (NZSA) to provide a retail investor sentiment index to measure sentiment of the New Zealand Stock Market, New Zealand sectors and international markets. The index involves a weekly survey that tracks the sentiment of New Zealand's retail investors' short-term future (next six months) on the market. Sentiment is captured as being bullish (expecting increasing prices), bearish (expecting decreasing prices) or neutral (expecting no change) across eight sectors – energy, health care, information technology, primary sector, industrials, consumer discretionary, financial, and real estate. The survey design and methodology were developed in close collaboration with the NZSA to transform the data into a quantitative index.

Tony Mitchell, Chair of NZSA said, “This collaboration between NZSA and UC Business School fits well with our mission to be the voice of investors and will contribute to the understanding of investor behaviour and the overall market.”

UC's College of Education, Health and Human Development (CEHHD) co-sponsored a panel of health experts to present “The Science Behind the Coronavirus Covid-19 and what it means to you and your family.” The College worked with partners in the Te Papa Hauora Health Precinct Advisory Board: the University of Otago (UO), Ara, and the Canterbury DHB, to organise the event. Te Papa Hauora Christchurch Health Precinct was designed as a collaborative initiative to advance health research, education and innovation. More than 150 people joined this coronavirus public meeting on Monday 9<sup>th</sup> March. International infectious disease specialist Professor David Murdoch from UO led the panel discussion. Sarah Whitcome-Dobbs, lecturer in the UC School of Health Sciences in the child and family psychology programme, spoke as a panel member to the concerns of parents and families in supporting their children during this public health challenge.

The School of Teacher Education and the Teacher Learning and Innovations in Practice Research Hub hosted a workshop with members of Grow Waitaha. Grow Waitaha is an education consortium that was established to support schools in post-earthquake Canterbury through educational transformation. The co-designed and facilitated half-day workshop enabled staff from UC and Grow Waitaha to learn more about each other's work, establish the foundation for future partnership, and identify areas for future collaborations to support teacher education with the goal of enabling more equitable outcomes for all learners in Waitaha Canterbury.

## **Education – Accessible, Flexible Future Focussed**

Following an inspiring time in the US at the DREAM conference and meetings with key leaders in Georgia State, Associate Professor Julie Mackey, Dean (Assistant Vice-Chancellor Academic) and Kaylene Sampson, Team Leader, Learning Evaluation & Academic Staff Development, are working with relevant groups to identify strategies that will translate to the UC context to support widening student participation, transitions, equity and student success.

Some of the key themes that emerged during the visits were the value of predictive data analytics to inform proactive student advising, the importance of career links and clear academic pathways especially for those less sure of future goals, intentional and comprehensive academic support particularly in key ‘predictor’ courses, and the need to organise services from a student-centric perspective. It was also evident that leading institutions are investing in automated technologies and

AI to successfully engage and support students throughout the student life cycle from early enquiries through to graduation.

Julie and Kaylene noted the value of travelling with officials from the Ministry of Education, TEC and members of other tertiary institutions who are also actively pursuing improved equity and student outcomes.

UC already has in place several initiatives to create greater access and exposure to UC. Three of those programmes have progressed in the last month. First, the UC STAR Programme, for year 12 and 13 high school students, has had a great start to the year with over 420 students enrolling for courses thus far. The courses, delivered both face to face and online engage students both locally and nationally across 103 different high schools. This year we are particularly pleased to welcome students from new schools including Gisborne Girls' Grammar School, Mount Roskill Grammar School, Rangitikei College, Saint Peter's College (Gore), St Mary's College (Wellington) and Drury Christian School. Over half of this year's STAR students have enrolled in MATH101 with other popular courses being in Computer Science and Philosophy.

The second initiative ready for launch is the ChristchurchNZ University of Canterbury Pathways to Tertiary. Julie Mackey, has been working directly with Linwood School, and Haeta Community Campus in preparing for the initiatives which include, but are not limited to, UC academic student mentors in the schools and early engagement with industry partners.

Pleasingly, the Children's University Canterbury Partnership, which highlights the importance of engaging whānau and community in educational aspirations, has secured the external funding needed to expand in 2020 from 192 tamariki to 600. To date, 18 puni (schools and rūnanga) have signed up to participate from across four Council areas. The team is putting together a suite of campus experiences for tamariki and their whānau in school holidays, providing them with an opportunity to become familiar with the university and what it has to offer.

While pre-university initiatives can be an excellent start toward a successful transition, continued students success relies on our ongoing quality teaching. In 2020, *Learning Evaluation and Academic Development* will be focussing on fostering the use of data to improve outcomes for learners. In the last month, the first iteration of the 'teaching and learning' dashboard was presented to the Learning and Teaching Committee. The dashboard is a tool that provides a breadth of metrics related to teaching quality, learner engagement and learning resources. The dashboard also contains student evaluation of teaching scores and graduate attributes data measured across the lifecycle of the student from early experience through to graduation. The dashboard also allows teaching staff to look at relevant data and demographics to make decisions about their own teaching. The team have commenced working proactively across UC, to bring this data to the attention of all staff in support of improvements to teaching and learning at UC.

The strategic objective to ensure students are provided with lifelong learning opportunities through flexible degree and delivery options has strong resonance in the current context of the COVID-19 pandemic. In response, UC has developed a number of individual study plans. Students are engaging online through LEARN (the UC online Learning Management System), ECHO 360, and ZOOM video conferencing.

We are investigating the use of online proctoring services for the invigilation examinations. Many universities worldwide use these services and we are currently seeking feedback from those institutions that already use the service in China to see how robust the invigilation provided is in practice.

The Library team also continues to support UC's response to the COVID-19 through online delivery, by ensuring that teaching resources are open-access, or we have "extraordinary" permission from the relevant publishers of teaching resources

The College of Engineering is supporting first year Engineering students unable to travel to UC because of COVID-19, through a 2+4+2 course model, instead of the usual 4+4. The idea is to study two papers remotely in semester 1 (choosing from computer science, mathematics and statistics papers), then 4 papers in-person during semester 2 and finally 2 in-person summer courses. This allows lab and team project based courses to be conducted in person on campus with a delayed start. The lighter workload in semester 1 recognizes the difficulty of studying at distance and also allows for a late in-person arrival should that be possible. We have created an extra instance of ENGR101 over the summer to allow the 2+4+2 course model to cover all engineering intermediate for a 2021 start. Some students could not be accommodated with this model and so were offered an 18 month pathway.

If students are in their second or subsequent year in Engineering, responses include: additional on-line content being arranged, and special provision made to enable students who will miss Semester 1 in any of the Professional years to be able to take their full and normal Semester 2 courses. This includes creating a special on-line "prerequisite module" (formatted so that it can be emailed to individuals) to make sure that students have all appropriate prerequisite knowledge to carry on in S2 without disadvantage. The special provision includes year-on-year specific and individual programme modification that enables students to complete their degree with only a single semester delay.

In consultation with the UC e-Learning team, the College of Business and Law has conducted a survey of all UC Commerce students based in China and currently studying on-line, to learn more about these students' on-line learning experience and support needs. This feedback indicates that many students are feeling isolated. Thus, one simple, but effective teaching innovation that students appreciate is the appointment of a dedicated student class representative, preferably a native speaker, who maintains regular contact with impacted students in China via WeChat, updating them with important information and feeding issues back to lecturers.

In other initiatives to support the aim to ensure students are provided with lifelong learning opportunities through flexible degree and delivery options, the College of Arts is aiming to expand a popular and successful trans-global degree. Discussions are currently underway on expanding the Media and Communication course, currently co-delivered with the University of Helsinki and the National University of Singapore, to include a top-tier university in Australia. There are discussions with other parts of UC, including Biological Sciences and flexible learning advisors, on using the course's distinctive structure in other programmes, including virtual field trips with a southern African partner.

Staff in the College of Science and across UC, led by Prof Peyman Zawar-Reza, continue to develop the case for a new Bachelor of Data Science degree, with a number of majors within data science, science and humanities domains. This degree track should attract new students into science and fits with UC expertise in big data. It is proposed that this new qualification will go to the New Zealand universities approval body, CUAP in the second round of submissions in 2020.

Similarly, staff in the School of Earth & Environment are leading the development of a proposal for a 4-year professionally accredited Bachelor of Environmental Science (Hons) degree. This inter and trans-disciplinary degree will build on the rapid recent growth in Environmental Science at UC. It will focus on 'grand challenges' and Canterbury strengths such as Water, Sustainable Landscapes,

Biodiversity and Biosecurity, and Antarctica (titles provisional). It is proposed to go to the second round of CUAP submissions in 2020.

To strengthen students' bicultural confidence and competence across a range of programmes offered in the College of Education, Health and Human Development, including all of the initial teacher education programmes, Sport Coaching, and the new Bachelor of Youth and Community Leadership, more than 300 students have had the opportunity to participate in a noho marae experience. These experiences offer groups of 40-50 students the opportunity to have an immersive learning experience grounded in Māori learning-teaching pedagogies (Ako), and mātauranga Māori. The noho take place in a number of marae within the Canterbury region, expanding UC engagement with local hapū.

The first combined Business and Arts Careers Fair on 4<sup>th</sup> March provided the opportunity for students from both Colleges to engage with employers. The many visitors to the Professional and Community Engagement (PACE) stand included students who have recently graduated, and we are exploring ways in which we might be able to offer a PACE Internship to UC graduates preparing to secure their first job.

This semester, 43 interns from the PACE programme have started in 30 different work places in or around Christchurch, including a record number of US Study Abroad students. PACE partners include: City Mission, Food Resilience Network, Envirohub, Terra Cat, NZ Institute of International Affairs, Waimakariri District Council, Cantabrainers Therapeutic Choir Charitable Trust, Canterbury Museum, Christchurch City Council, Christchurch Art Gallery, ChristchurchNZ, Duncan Webb Offices, ECAN, Plunket, Water and Wildlife Habitat Trust, Sustainable Ōtautahi Christchurch, Teece Museum, Christ's College, Christchurch Foundation, Christ Church Cathedral Reinstatement Trust, Shirley Village Project, Delta Community Support Trust, Mates Media, Avebury House Community Trust, Arion Farm Park, Burnside Primary School, Richmond Community Garden, Ōtautahi Creative Spaces, UC Sustainability and Winter Worlds Cycle Event.

## **Research – Impact on a Changing World**

The 2020 QS subject rankings have been recently announced with UC having two subjects (Civil and Structural Engineering and Linguistics) in the global top 100, four subjects comprising Accounting & Finance, Law, Earth & Marine, and Geography, in the top 150, and Environmental Sciences, Education, Politics & International Studies, and Sociology in the top 200. A further 14 subjects ranked in the top 400. This outcome although reasonable, is being actively pursued for improvement. It should be noted that only UC, University of Waikato, and Lincoln University didn't have a top 50 QS subject. Auckland, Otago, Massey, Victoria University of Wellington, and AUT had, respectively, 13, 4, 2, 2, and 2 subjects in the top 50.

February and March are busy times of the year in the research funding calendar, with the submission of funding applications to the Marsden Fund and MBIE Endeavour Fund Research Programmes. This year UC has submitted 108 applications to the Marsden Fund, which supports excellent "blue skies" investigator-led research. Short proposal applications were submitted from all Colleges, with 34% targeted for emerging researchers (Fast-Start) and the remaining 66% for established researchers (Standard). Those applicants progressing to the full application stage will be known in May. Within the Endeavour Fund, UC submitted eight Research Programme bids totalling \$53.1 M, which invests in excellent research leading to economic, environmental and societal impact for New Zealand.

UC is also a collaborating partner in a further 27 proposals led by other research providers, with the value of UC's contributions totalling \$15.6M. UC is also part of nine bids to the MBIE Strategic Science Investment Fund Advanced Energy Technology Platform, totalling \$30.9M (including 2 led by UC to the value of \$24.5M). Year to date, UC has completed contracting for 37 projects worth \$7.6 M as the university works toward a strategic goal of expanding our research income.

One of our key aims is to grow PhD student numbers who are undertaking high-quality and impactful research. In order to increase the number of doctoral student numbers, funding has been approved for new scholarships at an increased stipend of \$28,000 per annum for three years. A total of 20 of these scholarships will be aligned with the newly formed research clusters in 2020. These new scholarships will aid UC in attracting more high quality students and achieving its target of increasing doctoral enrolments to 1200 students. A further five of these scholarships will be available for the LU-UC doctoral school partnership.

The increased funding also allows for a total of 55 scholarships to be available in 2020 for new doctoral candidates, funded at \$21,000 per annum for three years, a total increase in scholarships allocated centrally from 70 to 80. These 55 scholarships are being allocated on a rolling basis throughout the year with our best candidates being made an offer of a scholarship far sooner than in the previous allocation model.

The impact of UC's research to New Zealand society has been in the media recent weeks. Professor Elisabeth McDonald has published a new book with Canterbury University Press on rape trial processes and made very practical reform recommendations to the whole life-cycle of such trials, which received excellent media and online coverage, while Professor Lianne Woodward has shown the need for greater health and educational support for children born very pre-term given they typically develop cognitive impairments.

Dr Pan Zheng, Lecturer in the UC Business School, has been awarded the 2020 'Application of the Year' prize by the International Membrane Computing Society (IMCS) for his 2019 publication "Spiking Neural P Systems with Learning Functions", which appeared in IEEE Transactions on Nanobioscience.

From the School of Earth and Environment, Dr Michelle La Rue published a paper in *Global Change Biology* (a high impact journal) with the front cover photo coming from her work. Dr Kelly Dombrowski published a book (with JK Gibson Graham) *The handbook of diverse economies* published by Elgar and checking in at 578 pages. It represents 3 years of hard work by Dr Dombrowski.

The College of Engineering continues to provide engineering solutions to medical and physiological issues. Recently the College has been awarded funding to academics doing very different projects in Mechanical Engineering. Dr Debbie Munro is funded to develop a Wireless, Implantable Sensor for Early Detection of Spinal Fusion, and Dr Jennifer Knopp is funded to research Blood Glucose Sensing Using Pulse Glucometry and also to carry out investigations of Lung Mechanics and Breathing Effort.

Successful recipients for two new College of Science research awards were recently announced. The recipients of the New Ideas Seeding Grant were:

- Jodie Johnston from Te Kura Matū | School of Physical and Chemical Sciences for the project on 'Regulating Vitamin K Biosynthesis in Human Pathogens.'

- Claudia Meisrimler from Te Kura Pūtaiao Koiora | School of Biological Sciences for the project ‘In the dark: Understanding how plant roots sense pathogens and tune immune responses under drought stress conditions.’
- Amy Osborne from Te Kura Pūtaiao Koiora | School of Biological Sciences for the project ‘Smoking gun or smoke and mirrors? Probing the molecular basis of the association between maternal tobacco use during pregnancy and poor psychiatric adjustment in offspring.’

## People – Nurturing Staff, Thriving Students

UC aims to develop and provide targeted interventions and a positive environment to support student success. One of our most important interventions is our Herea-Tō Waka Orientation.

A wide range of Herea-Tō Waka Orientation activities was delivered during February and early March, including new welcomes for mature and Rainbow community students. 86% of those surveyed agreed that they felt welcomed by UC and that they have made the right choice. The annual call out to first year students commenced in the week of 2 March and will identify information gaps and support needs. The Academic Skills Centre has seen a significant increase in workshop and seminar attendance and will be commencing extended hours this month to provide support to students in the evening.

The Library has provided another successful Herea-Tō waka-Orientation stall for student transition into the university that saw large numbers of students seeking information about the Library. A core skill in university education is understanding the practice and usage of “academic referencing”. The Library are providing direct online support to students to learn this skill, and to staff to update online modules (including any course in Learn) with recent changes in APA referencing.

One of the foundations for successful study is to create a sense of belonging. The Pasifika “Get Fresh” Orientation attracted over 100 students with a shared BBQ lunch on Okeover lawn. In addition to an afternoon tea attracting 90 students, the Rainbow Orientation market stall was very successful and handed out 300 rainbow packs with information and goodies, and over 100 students signed up to Q-Canterbury. An unfortunate homophobic incident at an event at the Foundry at the end of February demonstrates the importance of creating a welcoming environment for all students and plans for Orientation 2021 will include an enhanced focus on values. That said, it was heart-warming to see the response of the student community, who initiated a “Pink Mono” in support of the Rainbow community.

In the Engineering College, the student mentor leaders in the ENG ME! have personally offered to run extra peer mentoring groups when new students eventually arrive if they have delayed travel. We have also extended the ENG ME! scheme to repeating Intermediate year students for the first time, in order to improve the student experience if they had to repeat our first year for any reason.

‘LawME’ is running for a second-year. Inspired by the Engineering ‘ENGMe’ scheme, LawME mentors are senior students who provide group mentoring to new students enrolled in first year law papers at UC, offering direction, encouragement, motivation and friendship through weekly contact for the first 10 teaching weeks of semester 1.

The Law School held a ‘trivial pursuit’-style quiz in a timetabled lecture hour. Questions ranged from UC-related orientation questions to popular culture, from NZ history to introductory legal system questions. The students appeared to enjoy themselves thoroughly, more so as spot prizes of chocolate fish were liberally awarded!

UC and UCSA are working jointly on a range of social integration initiatives for students. These have included enhanced training for club executives and leaders, focusing on inclusiveness and respectful behaviours, bystander intervention, and the delivery of online modules for first year students introducing them to UC and providing information about health, wellbeing, making friends and study. Over 600 students have completed all the modules so far, with a spot prize winner commenting: “The modules were quick and easy to complete as well as being full of useful information. The content spanned several important areas of wellbeing, with tips and tricks that will be valuable for life at uni and beyond!” We are working to resolve a few glitches in the delivery mechanism and planning for a re-launch in Semester 2.

On International Women’s Day UC publicly committed to close the gender pay gap and to realise this academic and HR staff are working on some early interventions such as balancing the gender composition of staff recruitment panels, analysis of any unconscious bias in the language used in our advertisements and other recruitment documentation, and development of a survey of female academic staff about the barriers to participation in the academic promotions process.

## **Internationalisation – Locally Engaged, Globally Networked**

This is a strategic objective where COVID 19 is impacting most negatively. Erskine Fellows and other international fellows have been encouraged to return home. This is deeply disappointing especially after the successful Morning Tea on 27<sup>th</sup> February to welcome the latest cohort of Visiting Fellows to UC. The event, which was attended by many of the 36 fellows at UC during Term 1, was a particularly special occasion as the University welcomed its 2,000<sup>th</sup> Erskine Fellow, Professor Jon Shaw from the University of Plymouth.

UC currently has 225 online students in China, although deferrals are increasing as the reality of online study kicks in. We have 51 students from this group who have indicated that they would now like to commence in Semester 2 and this is likely to increase. Normally UC could expect another 100 Chinese students to start their programme at Semester 2 and about 240 non-Chinese students to start then. However, this will be highly dependent on government guidelines and travel options available. UC currently has 190 Study Abroad students from US universities on campus, some of whom are being recalled by their home university. We are seeking to support these students’ return and course completion by delivering the remainder of their course online. This will help support student outcomes and safeguard revenue.

Recent efforts in international recruitment have focused on alleviating the impact of Covid-19 on our student experience and boosting Semester 2 enrolments. Around 280 students are enrolled online and arrangements are being made with Alibaba Cloud to deliver an enhanced online experience. This initiative plus increased use of WeChat, Zoom and other technologies demonstrate the opportunity to leverage an unfortunate situation to build better capability for UC’s future online learning options. Academic Skills and StudentCare have established support mechanisms for students in China and support is also being provided to academic course coordinators. Despite these efforts, there is some evidence of increased deferrals. Our pathway college UCIC has experienced significant impact on EFTS. We are working with them on retention and nurturing strategies and have identified a number of areas for collaboration in recruitment

A diversification strategy is in preparation to progress growth in a greater range of markets over the medium term, with an initial focus on Semester 1, 2021. International education has experienced a significant shock and many universities are responding with discounts and financial packages. One university in Australia has offered students A\$1500 to support travel costs if they transited through



a third country to reach Australia, remaining in that third country for 14 days and with no contact with a confirmed case. Other institutions have broader offerings e.g. La Trobe, with \$2000 travel fund plus 20% tuition discount. In New Zealand AUT has offered 30% discount on fees. UC has assessed our position and will be utilising Deans Awards previously approved by Council, to attract students from China and more broadly from South East Asia, which offers good growth opportunities.

While the main markets of China, India and Malaysia remain an important focus for international student recruitment, the College of Business and Law is actively exploring ways to develop new markets, with a particular focus on attracting students from South East Asia (including Indonesia, Philippines, Singapore, Thailand and Vietnam). To support this strategy, the College plans to introduce new 'South East Asia Awards for applicants from the region applying to come to UC in Semester 2 this year and in 2021. This model is being considered for application across the University.

The Ambassador programme is another new initiative underway to support diversification. This programme will engage UC students from priority recruitment countries in creating social media content, as well as hosting live podcasts and Q&A sessions with prospective students. According to the QSES International Student Survey 2019, existing students are an important source of information for prospective students. The College of Business and Law will pilot the Ambassador Programme this year with two current students, one from Indonesia and one from Malaysia.

Many events have been cancelled or deferred but prior to the escalation of COVID 19 to pandemic status there were many. On 21 February, the Department of Global, Cultural and Language Studies received a visit from the German Ambassador to New Zealand, Stefan Krawielicki, and the Vice-President of the German Bundestag (Parliament) Wolfgang Kubicki, who were in Christchurch for the Canterbury Earthquake anniversary. The German visitors discussed the challenges and opportunities for promoting German language in the South Island, given the relatively low numbers studying the language in the Canterbury region.

The National Centre for Research on Europe began its 2020 weekly diplomatic seminar series "New Directions & New Leadership" in March. The first of these lively, interactive events saw a vibrant mix of students, academics, and members of the public fill the room to capacity, and were delivered by the Ambassador for the European Union, HE Nina Obermaier, and the Italian ambassador, HE Fabrizio Marcelli.

Individual and programme level collaboration continues within the current constraints. The College of Arts philosophers regularly collaborate with Swiss philosophers. In one of the most recent collaborations Professor Jack Copeland, Professor Diane Proudfoot, and Dr Aneta Cubrinowska, worked with colleagues from ETH Zurich and the University of Fribourg to found the Bocheński Centre. Although neglected by modern scholars, Józef Maria Bocheński (1902-1995) was one of the twentieth century's most significant logicians and philosopher-historians. Based in , in Fribourg, Switzerland, the goals of the Bocheński Centre are (1) to affirm Bocheński's legacy at Fribourg through public lectures, international conferences, and a digital archive of Bocheński's published and unpublished papers; (2) to open up Bocheński's work—much of which is written in Polish, German or French—to the anglophone world, by means of an extensive programme of transcription, translation and publication; and (3) to re-awaken scholarly interest in Bocheński by means of new research relating to his work.

In preparation for recovery post COVID 19, UC is partnering with ChristchurchNZ, Tourism NZ, and Te Pae to secure important international conferences for UC and Christchurch. A formal launch to senior academics occurred on 10 March to demonstrate the support available from

external organisations such as Tourism NZ and ChristchurchNZ to prepare bids, make pitches and win conferences.

## Organisational Efficacy

In our strategy we aim to ensure that “the University’s structures and systems empower those who work with them, are integrated and streamlined, promote a constructive culture, and have one focus – quality learning, teaching and research...” To enhance our organisational efficacy, I have been working with Senior Management Team (SMT) members to best organise ourselves for implementation of our strategy.

Following the resignation of Alex Hanlon, the Learning Resources portfolio has been disestablished. Responsibility for Information Technology has been allocated to Keith Longden, the Facilities Management to Paul O’Flaherty, the Library to Ian Wright and e-Learning to Catherine Moran. The position held by Alex has been disestablished.

After consultation with the Academic Board and in alignment with the Strategy, Catherine Moran will assume full responsibility for learning and teaching, e-learning, academic quality assurance and student academic success. To reflect this her title will change to Deputy Vice-Chancellor (Academic) and she will report to me. Ian Wright will continue as the VC’s alternate when I am away with Catherine Moran as the alternate for Ian. To achieve better workload balance across SMT and after consultation with Associate Professor Te Maire Tau in his capacity as Upoko of Ngāi Tāūhuriri, mana whenua, and other stakeholders, the Pasifka Development Team will report to Darryn Russell.

HR is working with the SMT members who are in consultation with staff about implementing structures that best support the new functional responsibilities. I have also taken the opportunity to change the name of the overall team to Senior Leadership Team to signal a shift in organisational culture. This is more descriptive of its mandate – to focus not just on management processes but on leading the cultural change we need to enable the strategic plan to come to life.

Other organisational changes include the appointment of Dr Jarrod Gilbert as Director of the Criminal Justice programme. Dr Gilbert, whose profile includes a ground-breaking study of New Zealand culture, plans to strengthen the core of the bachelor degree, develop the programme at Masters level, and establish a Criminal Justice Research Centre that will draw together research expertise across at least three Colleges.

The new School of Psychology, Speech and Hearing | Te Kura Mahi ā-Hirikapo has implemented a new governing structure with committees, policies and processes being reviewed. Associate Professor Rebecca Kelly has been appointed as Deputy Head of School.

A recent commercial partnership in the health sector exemplifies the dual aims to grow and diversify revenue and to make a positive impact on hauora wellbeing of the people of Ōtautahi Christchurch and Waitaha Canterbury. The Canterbury District Health Board have accepted the University’s tender to be the sole provider of paediatric audiology services for the region. They have offered a three year term starting June 2020, worth approx. \$500k per annum. As the University currently only provides adult hearing services, this contract enables our clinicians to expand their scope of delivery with economies of scale due to the use of existing clinic space and resources.

Whilst the contract is commercially attractive to us, diversifying our revenue streams, it is also of strategic import as it clearly demonstrates that we are an engaged University providing much

needed services which will make a positive impact on the hauora wellbeing of our local community. It also enriches our students' experience as it provides them with direct and immediate access to paediatric practice as opposed to having to be placed with other providers. Professor Greg O'Beirne and Dr Jonny Grady have led the bid from the newly formed School of Psychology, Speech, and Hearing.

Donors have again been very generous in supporting UC to become *an economically sustainable university able to initiate new, high impact projects*. The UC Foundation year end income for 2019 has been confirmed at \$9m, with distributions of \$6.5m. The Foundation recently received an important \$1.2m legacy for Māori and Pasifika postgraduate study and research. The bequest was from world renowned geographer, Emeritus Professor Peter Holland who died in January 2019 aged 79. Peter received his BSc & MSc in Geography at the University of Canterbury and was an academic at Otago for 40 years until his retirement.

I was the invited speaker at Riccarton Rotary Club's annual general meeting and I used the opportunity to share our new ten-year strategy. Riccarton Rotary have contributed \$25k to the Children's University, which has now received sufficient philanthropic funding to extend the programme to 600 children in 2020. Rotary groups have now contributed over \$355k to UC over the last eight years, mostly to support scholarships. In addition to progressing the campaign for Children's University, the Alumni team have recently held two highly successful events for young alumni in Auckland and Christchurch.

As part of our key objective to simplify, automate and reduce business processes, our work to automate more processes continues. Two new "bots" were delivered in March to add to the existing 9 "bots" in production. The two new bots were for automating payment request forms and assisting with the Early Alerts (ACE) workflow. Upcoming candidates are HR alerts and automation of the verification of study process including fees free.

## **Environmentally Sustainable**

In a very important first step in our aim to ensure that UC will be carbon net neutral by 2030, a revised business case for the Ilam Boiler is being considered by Council this month. This exciting sustainability initiative is the first stage in a bigger programme of work to have all University buildings heated by ground-source heat pumps over the next decade. An interim objective is, by temporarily converting our boilers to burn Biomass (wood chip), to have no coal burnt on campus by 2025. The University has been working closely with the Energy Efficiency and Conservation Authority (EECA) in developing our long-term energy plan.

In support of our aim to weave opportunities for students to learn and contribute to resolving the Sustainable Development Goals through UC teaching, the UC Centre for Entrepreneurship (UCE) recently held a two-day challenge with 50 students to develop innovative concepts to help UC to achieve net-zero carbon emissions by 2030. Students came together from diverse disciplines, representing all five Colleges and ranging from first-year undergraduates to postgraduates. The winning team pitched a small-scale pyrolysis plant that would take UC's organic waste, as well as waste from wider Christchurch, and convert it into biofuels that could be used in both ground transport and aviation.

## Vice-Chancellor's Activities

<b>Past Events</b>	
27 February 2020	<ul style="list-style-type: none"> <li>• Attended the Erskine Programme Morning Tea</li> <li>• Met with Eruera Prendergast-Tarena from Ngāi Tahu Research Centre</li> <li>• Hosted Dr John Wood on campus</li> </ul>
28 February 2020	<ul style="list-style-type: none"> <li>• Met with Ambassador of the European Union, H.E. Nina Obermaier</li> </ul>
2 March 2020	<ul style="list-style-type: none"> <li>• Spoke at Riccarton Rotary Club function</li> </ul>
3 March 2020	<ul style="list-style-type: none"> <li>• Attended the NZIST Evaluation Panel luncheon</li> </ul>
5 March 2020	<ul style="list-style-type: none"> <li>• Met with Wolfgang Bopp (Director of Botanic Gardens) and Andrew Rutledge (Head of Parks) from Christchurch City Council</li> </ul>
9 March 2020	<ul style="list-style-type: none"> <li>• Spoke at Year 13 Transition Event at Papanui High School</li> <li>• Keynote Speaker at EY function</li> </ul>
10 March 2020	<ul style="list-style-type: none"> <li>• Spoke at Tourism NZ Conference</li> </ul>
11 March 2020	<ul style="list-style-type: none"> <li>• Spoke at Student Forum</li> </ul>
12 March 2020	<ul style="list-style-type: none"> <li>• Attended Student Exec dinner</li> </ul>
13 March 2020	<ul style="list-style-type: none"> <li>• Attended Academic Board</li> </ul>
16 March 2020	<ul style="list-style-type: none"> <li>• Attended Audit &amp; Risk Committee</li> <li>• Attended Finance, Planning and Resources Committee</li> <li>• Attended Council and SMT Farewell for Alex Hanlon</li> </ul>
18 March 2020	<ul style="list-style-type: none"> <li>• Attended Health, Safety and Wellbeing Committee meeting</li> </ul>

<b>Upcoming Events</b>	
20 March 2020	<ul style="list-style-type: none"> <li>• To speak at Staff Forum</li> </ul>
24 March 2020	<ul style="list-style-type: none"> <li>• To speak at Welcome to New Staff</li> </ul>
25 March 2020	<ul style="list-style-type: none"> <li>• Attending UC Council Meeting</li> <li>• Attending UC Council Dinner for Jeff Field's retirement</li> </ul>
15 April 2020	<ul style="list-style-type: none"> <li>• Attending Academic Board</li> </ul>
16 - 17 April 2020	<ul style="list-style-type: none"> <li>• Attending Universities NZ VC meetings in Wellington</li> </ul>
20 April 2020	<ul style="list-style-type: none"> <li>• Attending Finance, Planning and Resources Committee</li> </ul>
23 April 2020	<ul style="list-style-type: none"> <li>• Attending Executive Team Meeting for College of Science</li> </ul>

**Report to the Council from a meeting of the  
Audit and Risk Committee  
held on Monday 16 March 2020**

The Committee recommends:

1. Health, Safety and Wellbeing Report

***That: Council note the Health and Safety Report.***

2. Internal Audit Update

***That: Council note the Internal Audit Update.***

3. UC Trust Funds:

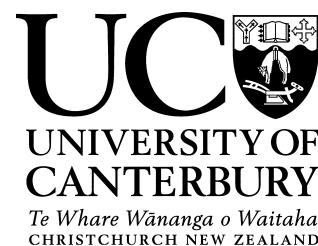
***That: Council approve the contents of the Charities Commission letter advising variations to the terms and conditions of reporting on UC Trust Funds.***

***That: Council approve the proposal to transfer the remaining four trusts to the U C Foundation.***

Keiran Horne  
**Chair**  
**Audit and Risk Committee**  
18 March 2020



# COVER SHEET



<b>To:</b>	<b>Ki:</b>	University Council, via Audit and Risk Committee
<b>From:</b>	<b>Nā:</b>	Paul O’Flaherty, Executive Director of Human Resources
<b>Date:</b>	<b>Rā:</b>	10 March 2020
<b>Subject:</b>	<b>Kaupapa:</b>	<b>Health, Safety and Wellbeing report to Council</b>

## Recommendation:

*That this paper be received by Council.*

**Purpose:** The intent of this report is to provide assurance to Council that satisfactory arrangements are in place for managing Health, Safety and Wellbeing risk across the University of Canterbury.

**Executive Summary:** UC had no serious harm events, serious injuries or notifiable events to Worksafe throughout 2019. The main reported events were slips, trips and falls. There have however been two notifiable events in early 2020. There are no significant uncontrolled risks that should be reported to Council.

**Attachments: Health, Safety and Wellbeing report March 2020**

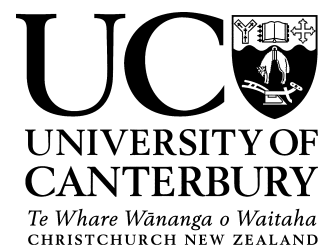
## Paper Progress:

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
PFRC/RAC	n/a	n/a
SMT	11 March 2020	n/a
ARC	16 March	
COUNCIL	25 March	





# Audit and Risk Report



<b>To:</b>	<b>UC Council, via Audit and Risk Committee</b>
<b>From:</b>	<b>Steve Hunter – Health and Safety Manager</b>
<b>Date:</b>	<b>March 2020</b>
<b>Subject</b>	<b>Health, Safety and Wellbeing at UC</b>

*The intent of this March 2020 report is to provide assurance to Council that satisfactory arrangements are in place for managing Health, Safety and Wellbeing (HSW) risk across the University of Canterbury.*

## Report Content:

1. Summary
2. Legislative Update
3. Audits for 2020
4. Health Monitoring
5. Training for 2020
6. Governance Tracking and Reporting
7. UC Statistics
8. ACC Annual Report 2019

### 1. Summary

We are pleased to report UC had no serious harm events, serious injuries or notifiable events to Worksafe throughout 2019. Our main reported events were slips, trips and falls.

There have however been two notifiable events so far this year – a staff member with a fractured shoulder, and the fire in the High Voltage Laboratory, which was notified to Worksafe by the Fire Service (see below for more details of both incidents).

Covid-19: The Health and Safety Team are engaged with the UC community including the Incident Management Team and Student Services providing advice, support and supplying protective facemasks and hand sanitisers when requested. We are advising, in liaison with the Health Centre, that the UC community including contractors have 2020 flu vaccinations.

UC Significant Incident: On 28 January 2020, a fire occurred in a UC main campus HV (High Voltage) Laboratory. No persons suffered any injuries. Significant damage to the interior and contents of the laboratory were sustained. The fire service attended and extinguished the fire. Investigations are underway to determine the cause of the fire and a further separate report is provided in the meeting papers.

Notifiable to WorkSafe event: On Friday 28<sup>th</sup> February, 2020 a female staff member sustained two fractures to her right shoulder by tripping over a raised internal seismic floor joint situated on an upper internal walkway between Ernest Rutherford and Beatrice Tinsley buildings. The injured party was admitted to hospital for two days receiving treatment to her injured shoulder. Worksafe were notified following this event. On Monday 2<sup>nd</sup> February, Worksafe released the scene back to UC and will take no further actions. This event will be reflected in the next Audit and Risk Report

Wellbeing of our people is essential for the successful running and harmony of UC. In order to maintain and improve service to staff and students, a UC Staff Wellbeing Strategy is under final review. This document will provide guidance for leaders and pathways for those who are in need of direction.

UC now has an operationally compliant central temporary Dangerous Goods Transit Depot in place situated in the West building at ground level. The depot manages previous high risk to UC on how we handle, store and distribute hazardous substances throughout campus. A compliant permanent facility in Ernest Rutherford is awaiting completion.

A business case for a chemical management system to track, locate and determine quantities of hazardous substances on campus is underway.

Campus construction projects have significantly reduced. However, due diligence on how we manage existing construction and other related activities remains a high priority.

The Health and Safety Team are working on the following 2020 projects alongside BAU:

- Hazardous Substance Locations: Identifying locations, status of stores (including where certification is required), in what quantities and if we actually require them on campus.
- Transitioning data from our current toolbox to internet web page.
- Developing work integrated learning and field trip procedures.

We continue to focus on the following identified key features common to organisations who have improved health, safety, wellbeing, resilience and engagement:

- Visible senior leadership.
- Board level or equivalent engagement.
- Accountable managers throughout the organisation.
- Enabling engagement with staff and students.
- Attention to both mental and physical health improvements.
- Empowering employees and students to care for their own health.
- Evaluation to ensure continuous improvement.

## **2. Legislative Update**

A New Zealand university health and managers working group reviewing laboratories who meet specific requirements of Part 18 of the Health and Safety at Work (Hazardous Substances) Regulations 2017, have produced a document in final draft form awaiting approval from Worksafe. To be covered by Part 18 of the regulations a laboratory must only use hazardous substances for research and development, analytical testing or teaching.

Part 18 identifies good practice guidelines for:

- PCBU Duties – Lab design
- Laboratory Manager’s Duties

The UC Health and Safety Team along with UC subject matter experts and other universities played a major part in the review and final draft of this document.

### 3. Audits for 2020

SafePlus Audits:

- Campus Services
- CAPE
- Biological Sciences

Machinery Audits:

- Facilities Services
- Geological Sciences
- School of Product Design

External auditing of existing construction/refurbishment projects are ongoing

### 4. Health Monitoring

Type of Test	Reason	#Staff Y17	# Staff Y18	# Staff Y19
<b>Spirometry Testing/Audiometry</b>	Staff exposed to hazardous dusts/fumes and Staff exposed to excess noise	<b>140</b>	<b>172</b>	<b>166</b>
<b>Skin Checks</b>	Staff exposed to UV	<b>52</b>	<b>81</b>	<b>64</b>

**Note:** Due to long periods between exposure to a health hazard and harm occurring, UC does not rely solely on Health Monitoring. A combination between Health Monitoring and Exposure Monitoring gives more insight into the effectiveness of controls in a workplace

### 5. Training

Training Courses for 2020:

- Health and Safety Representative (HSR)
- Fire Extinguisher and Evacuation
- First Aid
- ISO 45001 General and Lead Auditor
- Hazardous Substance Certified Handler
- Risk Management
- Field Activities

- Incident Cause Analysis Method (ICAM) investigations
- Laser Health and Safety Officer

## **6. Governance Tracking and Reporting**

Observations on the effectiveness of UC Health and Safety Governance and supporting management systems include:

- Council Safety walkabouts. These are essential for raising culture from ground level upwards and are well received. Council conversations with students and staff display a healthy supportive culture and commitment to Health, Safety and Wellbeing;
- Quarterly and annual Health and Safety reports are studied by Council and any questions/issues raised are fed back to the Human Resource Director and if required, the Health and Safety Manager for further comments/direction;
- Council and SMT support of a dedicated Health and Safety team with associated members (Health and Safety Representatives etc.) along with regular well-attended Health and Safety Committee meetings shows commitment towards maintaining compliance and developing culture;
- Health and Safety systems and procedures are under constant review;
- Incidents/Events/Occurrences are recorded within RMSS. Investigations are carried out where required with agreed corrective actions with reports distributed to appropriate staff. When correctly reported, trends discovered at the earliest opportunity reduce our lagging performance indicators;
- External Audits/Assessments take place throughout the year and provide the University with unbiased reports and actions on any gaps indicated;
- Numerous Health and Safety procedures within UC will benefit from a more consistent approach between areas. This is under ongoing review;
- UC shares Health and Safety learnings with other universities and beyond, by way of regular attendance at National Human Resources, National Health and Safety Manager Meetings, IOSH (Institute of Occupational Safety and health) Conferences and AUSA (Australasian Universities Safety Association) attendance;
- Success is celebrated with posts in community newsletters, annual Health, Safety and Wellbeing Awards and a personal email from the Health and Safety Manager;
- UC-wide monthly relevant statistics from RMSS, are shared throughout all Health and Safety Committee meetings. This will assist with identifying trends and keep the community informed of reported events;

## 7. UC Statistics

### Lagging Performance Indicator Statistics January - December 2019

**Note:** Lagging Performance Indicators indicate the number of events which have already occurred, an indication of where you have been rather than where you are going. Improving Leading indicators significantly reduces Lagging Indicators.

Sick leave trends are included as requested. Individual sick leave is monitored via a monthly report to managers. A long-term sector inability to provide meaningful sick leave benchmarking data means that organisation-level trends are hard to interpret.

Lagging Performance Indicators	2017	2018	2019
<b>* Near Miss Reporting (Please refer to note below)</b>	<b>51</b>	<b>51</b>	<b>42</b>
Low	20	26	29
Medium	21	20	11
High	10	5	2
<b>Injury (Actual physical injury to persons)</b>	<b>132</b>	<b>153</b>	<b>164</b>
Low	122	123	152
Medium	18	29	11
High	2	1	1
<b>Incident (No Injury)</b>	<b>50</b>	<b>39</b>	<b>74</b>
Low	38	31	67
Medium	9	6	6
High	3	2	1
<b>Illness</b>	<b>12</b>	<b>6</b>	<b>3</b>
Low	8	3	3
Medium	2	1	0
High	2	2	0
<b>Discomfort or Pain (Experienced at work)</b>	<b>45</b>	<b>42</b>	<b>43</b>
Low	33	35	40
Medium	11	6	3
High	1	1	0
<b>Rec Centre Events</b>	<b>15</b>	<b>30</b>	<b>45</b>
Low	10	25	44
Medium	4	5	1
High	1	0	0
<b>Total Number of Reported Events</b>	<b>308</b>	<b>350</b>	<b>411</b>
<b>Total Number of Reported Events Less Recreation Centre</b>	<b>293</b>	<b>320</b>	<b>366</b>
<b>Lost Time Occurrences</b>	<b>10</b>	<b>10</b>	<b>9</b>

<b>Days Lost</b>	<b>54.5</b>	<b>87</b>	<b>128</b>
<b>UC Average days Lost</b>	<b>5.5</b>	<b>8.7</b>	<b>0.07</b>
<b>Sick Leave (non-ACC) Days</b>	<b>7,535</b>	<b>7,297</b>	<b>7,908</b>
<b>Sick Leave (Without Pay) Days</b>	<b>136</b>	<b>176</b>	<b>325</b>
<b>Total Sick Leave Days</b>	<b>7,671</b>	<b>7,473</b>	<b>8,233</b>
<b>** WorkSafe Notifications (please refer to note below)</b>	<b>0</b>	<b>0</b>	<b>1</b>

\* Near Miss Reporting status is under review: If UC intent is to treat near misses as 'actual incidents', especially when it comes to mandatory reporting, the near miss itself can be seen as an event with negative consequences and considered more of a lagging indicator.

*However, If UC intent of tracking near misses is to find weaknesses in our safety management system and improve organisational safety performance, then near misses become more leading in nature.* Currently we analyse Near Misses to identify weaknesses and implement corrective and preventative action plans to address them. This course of action indicates that we are using Near Misses as Leading Indicators.

\*\* Notification to WorkSafe made by Fire Service whilst attending fire in UC HV Laboratory. WorkSafe have informed UC that no further external actions (NFA) will be taken.

### **Leading Performance Indicator Statistics January - December 2019**

Leading Indicators can be measured without an incident, accident or property damage occurring and are extremely useful in being able to predict or prevent future events. These are favourable statistics where an improvement of health and safety culture is desired.

<b>Leading Performance Indicators</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
<b>Council Safety Tours</b>	4	4	4
<b>*External Audits</b>	32	26	12
<b>**SMT Safety Tours</b>	0	21	0
<b>Staff Training Sessions</b>	34	25	20
<b>H&amp;S Committee Meetings</b>	39	39	39

<b>H&amp;S Representatives</b>	83	80	77
<b>Safety Observations</b>	0	25	43
<b>Ergonomic Assessments</b>	118	127	150
<b>Health Monitoring (Staff Receiving)</b>	228	253	265
<b>***Flu Vaccinations (Staff and Students)</b>	1811	2370	864

- \* Reduction in external audits due to construction project completions.
- \*\* SMT Safety Tours may have occurred but not documented. These tour statistics will be provided in the May report.
- \*\*\* Flu vaccinations were significantly lower in 2019 due to a national shortage of vaccinations causing some staff to seek arrangements outside of the organisation.

## 8. ACC Annual Report 2019

A recent meeting with ACC claims department show that 2019 was a good year for UC from an injury perspective.

UC discount from ACC Experience Rating Programme is currently 6.04%

### Industry Peer Group Rates

The following section shows a comparison of UC claims experience against other businesses in the same industry peer group (businesses of a similar size that operate within UC Levy Risk Group (LRG)).

#### Risk Management Rate

(Number of qualifying claims with medical costs greater than \$500 per \$1 million liable earnings in this LRG)

UC Business	Industry Peer Group
0.06	0.07

#### Rehabilitation Rate

(Number of weekly compensation days for qualifying claims per \$1 million liable earnings in the LRG)

UC Business	Industry Peer Group
2.06	1.82

### Industry Size Modification

The following section compares UC industry peer group's claims experience to the claims experience of the entire LRG.

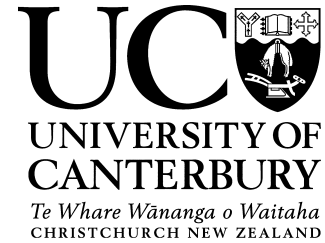
	Industry peer group rate	Total levy risk group rate
<b>Tertiary Education</b>	1.82	2.08

ACC have undergone internal reorganisation and changes to the way client support operates. A new model replaced the current Employer Centric Services (ECS) from 7<sup>th</sup> February 2020. Claims are now triaged to an all team allocation service. This means claims are highly likely be answered by various ACC staff members and could produce inconsistencies in service.

We will monitor the progress of this reorganisation and provide feedback to ACC where appropriate.



# Memorandum/Pukapuka



<b>To:</b>	<b>Ki:</b>	Council
<b>From:</b>	<b>Nā:</b>	Keith Longden
<b>Date:</b>	<b>Rā:</b>	18 March 2020
<b>Subject:</b>	<b>Kaupapa:</b>	<b>2020 Internal Audit Programme</b>

## Recommendation:

*That Council note the proposed internal audit providers and programme for 2020.*

## Purpose:

To advise the outcome of the procurement process for the delivery of internal audit services for the next three years and to confirm the proposed 2020 programme of audit delivery.

## Executive Summary:

- The seven internal audit reviews for 2020 were agreed at the October 2019 governance meetings.
- UC conducted a procurement process through the All-of-Government (AoG) panel and recommends the appointment of two internal audit providers for a three year appointment.

## Key Points/Strategic fit:

The Internal Audit review process is an essential activity that provides management and governance with an independent view of the efficacy of UC processes and procedures.

The seven internal audit reviews for 2020 were agreed as follows:

- Cyber Security
- Health and Safety Framework
- Information and Data Management
- Student Care
- Student Services Levy
- Student Admission Process
- Technology-enabled Teaching and Learning

The Committee discussed various options for managing internal audits in the future, including in-sourcing, co-sourcing, and out-sourcing. PWC has delivered an out-sourced option to the University of Canterbury for the last 10 years but given that it was time to re-tender, there was an opportunity to rethink our model for delivery.

It was agreed that UC would trial a two-tiered out-source option for three years and invite proposals from the All-of-Government panel. Four proposals were subsequently received from the incumbent, EY Grant Thornton and Deloitte. Following a shortlisting and interview process, **EY** and **Grant Thornton** were chosen with EY to be the main panellist and Grant Thornton the supporting panellist. It was decided that EY would deliver five of the seven audits in 2020 and

Grant Thornton, the remaining two. Each party was invited to prioritise the audits that it would like to undertake.

Delivery scope and schedule have yet to be finalised. At this stage, however, it seems likely that the following arrangements will be in place for this year:

<b>INTERNAL AUDIT</b>	<b>AOG PANEL MEMBER</b>	<b>PREFERENCE</b>	<b>DATE</b>
Cyber Security	EY	1st	Q4, 2020
Health and Safety Framework	EY	5th	Q2, 2020
Information and Data Management	EY	7th	Q3, 2020
Student Care	EY	3rd	Q2, 2020
Student Services Levy	EY	4th	Q3, 2020
Student Admission Process	Grant Thornton	2nd	Q2, 2020
Technology-enabled Teaching and Learning	Grant Thornton	1st	Q4, 2020

Note: EY has also prioritised the Student Admission Process (2nd) as an audit that would match its skill set and experience. Similarly, Grant Thornton has expressed a desire to undertake the Cyber Security audit (3rd) so these two audits may yet move to the other party.

**Financial implications:**

Costings to be confirmed but it is expected that the programme will deliver value for money at a similar level to previous annual expenditure of \$180K.

**Attachments:**

None

**Paper Progress:**

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
PFRC/RAC	03 February 2020	Approved
SMT		
FPRC/ARC	16 March 2020	Approved
COUNCIL		

# Memorandum | Pukapuka



<b>To:</b>	Ki:	Council
<b>From:</b>	Nā:	Keith Longden
<b>Date:</b>	Rā:	17 March 2020
<b>Subject:</b>	Kaupapa:	<b>UC Trust Funds – Charities Commission registration</b>

## **Recommendation:**

*That the letter from Charities Commission be approved by Council.*

## **Purpose:**

To present the letter confirming the consequential impact on the University's and UC Trust Funds' (UCTF) Charities Commission registration of the adoption of UCTF entities into the University reporting.

## **Executive Summary:**

UCTF entities were previously grouped under a single registration at the Charities Commission, headed by Erskine as the largest of them. UC, also a charitable trust, is registered separately. The Erskine grouping was a special concession by the Charities Commission so that the University did not have to prepare 160 sets of separate financial statements.

UCTF prepared and filed a single "consolidated" set of financial statements for the entities grouped under Erskine, showing the results of all the pooled funds.

On transition to new accounting standards for 31 December 2019, UCTF entities (except for 4) have been brought into the University's financial statements. We have agreed with the Charities Commission (subject to approval by Council) that the Erskine Trust and all the other trusts now part of the University financial statements will now be grouped under the University for registration on the Charities Register.

To achieve this, the Charities Commission proposes that the University will revoke its current registration and transfer to be the lead entity of the UCTF registration. The filing of the audited consolidated financial statements will meet the reporting requirements for the whole University and UCTF (although UC Foundation will continue to register separately).

A letter setting out the proposals for agreement by the University is attached. Although it says it is to be returned by 28 February, we have agreed that the end of March was more achievable for the University, as it requires approval by Council for the University as Trustee. Note that the letter

includes the separation from the University group registration of the four Trusts that are not part of the University accounts (see below).

Following discussion with the audit team, four UCTF entities were identified that did not meet the test of “control” that would bring them into the University financial statements:

Bickerton-Widdowson Memorial Trust  
Power Engineering Excellence Trust (PEET)  
Royal Society Canterbury Branch  
Canterbury History Foundation Inc.

The next steps for these entities is currently under consideration, but will entail separate registration and reporting for 2019, and may include returning funds. A separate paper has been prepared for Council and is included in this meeting’s agenda.

**Key Points/Strategic fit:**

This is a consequence of the changes to accounting standards and the application of legislation.

**Financial implications:**

This will entail some small additional registration cost, and administration time and preparation of financial statements by University staff. This has not been budgeted for.

**Attachments:**

Letter from Charities Commission

**Documents on SharePoint for information:**

N/A

**Paper Progress:**

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
CFO	28 February 2020	UCTF Steering Group and ARC
UCTF Steering Group	5 March 2020	ARC
ARC	16 March 2020	Council
Council	25 March 2020	For approval



**Te Tari Taiwhenua  
Internal Affairs**

**Charities Services Ngā Rātonga Kaupapa Atawhai**  
PO Box 30112  
Lower Hutt 5040  
12 March 2020

Username: UNI30309

Adrian Hayes  
University of Canterbury Trust Funds Group: CC45255

By email: Adrian.Hayes@canterbury.ac.nz>:

Tēna koe Adrian

Nga mihi

This email is following our recent correspondence relating to the “University of Canterbury Trust Funds Group (‘the Group’ CC45255). Currently the Group is a single entity registered under the Charities Act 2005, where the Erskine Trust is the ‘parent entity’ and there are 156 other Trusts in the Group

### **Background**

Your current reporting terms and conditions require the Erskine Trust, as the parent entity, to prepare and submit consolidated financial statements in the Group’s annual return.

In 2015 the University sought an exemption from applying the requirements of the new reporting standards for the Trusts. This was because the University considered the standards would result in a requirement for the Group to submit separate financial statements for all its constituent Trusts.

Charities Services granted the requested exemption under section 43 of the Charities Act 2005 (“the Act”), and the Group has reported on a consolidated basis. This continued the Group’s practice in the years before the introduction of the reporting standards..

This meant, however, that the consolidated financial statements were not in accordance with Generally Accepted Accounting Practice in New Zealand (GAAP) as they did not comply with the applicable reporting framework. This has resulted in the Group’s financial statements receiving qualified audits.

### **Request to vary the Terms and conditions for the Group**

You advised that the University of Canterbury (the University) had received advice from the Office of the Attorney General (OAG) on the application of the PBE IPSAS standards to the 157 bequests and trusts that comprise the Group. The University of Canterbury is currently registered under the Charities Act 2005 (CC24221 “the University”).

You advise that the OAG considers the trusts contained in the Group can be seen to be a gift to the University. As such the Trusts should be treated as non-exchange revenue of the University, this means applying PBE IPSAS 23 to the Trust funds and including them in University's financial statements.

You consider that the trusts included the Group should be part of the University, and you intend to include in the University's financial statements the trust's financial information.

Based on the OAG's advice;

- The University is intending to consolidate all the financial information of the Group in the University of Canterbury's (CC24221) financial statements; and
- This content will then be provided to Charities Services in the University's annual return.

In relation to the Group you advise:

- The University does not wish to deregister all the Trusts/bequests in the Group;
- The University proposes to join the University of Canterbury charity (CC24221) to the Group and for that charity, the University (CC24221) to become the parent of that group;
- You request that the current parent of the group, the Erskine Trust will be removed as parent, and the University (CC24221) appointed as the parent of the Group.

#### *Removal of 4 trusts from the Group*

You also advised that the audit advice you have received is that, while the vast majority of the UC Trust Funds fell to be 'controlled' by the University, four of those trusts did not. These four trusts were:

- Bickerton-Widdowson Memorial Trust - CC45088
- Power Engineering Excellence Trust - CC45199
- Royal Society Canterbury Branch - CC45225
- Canterbury History Foundation Inc. - CC45220

Based on this advice you are advising that th you wish for these four trusts to be removed from the Group, but to continue to be registered charities.

In response, Charities Services:

- Agrees that the easiest way to facilitate this new structure for the reporting of the Group under the Charities Act 2005 will be to move the University (CC24221) into the Group as the Group's parent. If this occurs we note that all charities in the Group will have a 31 December year end date.
- Agrees to remove the four charities from the Group:
  - Bickerton-Widdowson Memorial Trust - CC45088
  - Power Engineering Excellence Trust - CC45199
  - Royal Society Canterbury Branch - CC45225
  - Canterbury History Foundation Inc. - CC45220

- Will abide by its previous agreement that the Group will report providing one financial statement that provides financial information for all the Group. This approval will apply to the Group after the replacement of the parent, (the Erskine Trust) with the University.

The new parent will need to be reflected in amended 'terms and conditions' for the Group. The list of members of the Group are attached as Schedule B.

### **Compliance with standards**

It appears that the exemption was granted in 2016 to allow the nominal parent (the Erskine Trust) to report on a consolidated basis, even though there was no control relationship existing between the Erskine Trust and the other trusts in the Group.

Your new advice is that the Trusts and bequests that comprise the Group are to be treated as non-exchange revenue under IPSAS 23. We understand that you consider this analysis also means that the University has control of the Trusts in accordance with IPSAS 35. As such we consider that the University financial statements reporting on the Trusts it controls in accordance with IPSAS 23 means that the University's financial statements will be in accordance with Generally Accepted Accounting Practice (GAAP) as they comply with the applicable reporting framework. You may wish to discuss with your auditor whether any qualification of the audit opinion will be required.

### ***A new name for the Group***

The current name of the Group is the 'University of Canterbury Trust Funds Group'. After the change is completed the name will not reflect the role of the University (CC24221) in the Group. You have advised you are happy the new name for the Group should be the 'University of Canterbury and Trust Funds Group'.

### **We need to change your reporting terms and conditions.**

For the Group, the terms and conditions will be varied so that the University of Canterbury (CC24221) will be responsible for preparing financial statements that includes the activities, balances (etc) of all the Group members, being the Group's financial statements.

The new requirements will apply for the Group's financial year ending 30 December 2019 (that will be reported on in the annual return that is due by 30 June 2020).

If you agree, we would appreciate your advice that you understand and accept this change to your terms and conditions by 28 February 2020.

In general, Charities Services is satisfied that consolidated financial statements meet the needs of users and the purposes of the Charities Act 2005 (which we are required to consider under section 46(1B) of the Act).

### **Your new reporting terms and conditions**

We propose that your new reporting terms require you, as the parent entity, to prepare and submit one annual return and one set of financial statements that cover all the activities of the group members. The complete varied terms and conditions for the Group are attached as Schedule A.

**Unless we hear from you, these new requirements will apply for the financial year that begins on or after 1 January 2019**

The variation to the terms and conditions will apply for the Group's financial year ending 31 December 2019 (that will be reported on in the annual return that is due by 30 June 2020). If you agree, we would appreciate your advice that you understand and accept this change to your terms and conditions by 28 February 2020.

The financial statements should include, in the statement of accounting policies section, a brief description that the reporting terms and conditions set by Charities Services require the parent entity to prepare consolidated financial statements. This is a requirement of the Charities Act 2005 (section 46(1C)).

Finally, if you have any questions about this variation of your reporting terms and conditions, please contact me directly.

A handwritten signature in blue ink, appearing to read 'Adrian Shields', is positioned above the contact information.

**Nā Adrian Shields | Senior Analyst**  
**Charities Services Ngā Rātonga Kaupapa Atawhai**  
Direct Dial: +64 4 382 4003 | Mobile: +64 276645124



**Variation to the terms and conditions of single entity group 'University of Canterbury and Trust Funds Group' CC45255.**

**Schedule B – List of registered charity members of the Group**

Legal name	Parent entity	Registration Number
University of Canterbury	Yes	CC24221
A prize in memory of Margaret Condliffe and her son Professor John B. Condliffe	No	CC45071
Adams (T.W) Bequest	No	CC45073
Adams (T.W) Scholarships	No	CC45075
Alabaster (Austin H) Scholarships	No	CC45077
Alabaster-Knowles Prize	No	CC45078
Atkinson (Leslie) Prize in Music	No	CC45079
Australasian Coastal And Ocean Engineering Conference Fund	No	CC45080
Australasian Engineering Library Fund	No	CC45081
Australasian Institute of Metals Prize	No	CC45082
Bain (D.W) Prize in Journalism	No	CC45083
Bate (Gladys) (Nee Vincent) Prize in Music	No	CC45084
Belfast Rotary 25th Anniversary Disabilities Trust Fund	No	CC45085
Bell (Robert) Scholarship	No	CC45086
Bell (Robert) Travelling Scholarship	No	CC45087
Blackett (John) Prize	No	CC45089
Bradshaw (DRJC) Prize in Music	No	CC45090
Broadhead Classical Lecture	No	CC45091
Browning (Owen) Trust	No	CC45092
Bryant (Peter) Memorial Prize	No	CC45093
Burns (Joan) Memorial Scholarship in History	No	CC45094
Callaway (AC) Prize in Economics	No	CC45095
Canterbury Community Trust Doctoral Scholarship	No	CC45096
Canterbury Tertiary Education Chaplaincy Trust	No	CC45097
Canterbury Tertiary Education Millennial Trust	No	CC45098
Carlisle Trust Scholarships	No	CC45099
Cartwright (William and Ina) Scholarship	No	CC40269
Chemeca Trust Fund	No	CC45102
Chilton (The Charles And Elizabeth) Memorial Scholarship	No	CC45103
Civil Engineering Prize	No	CC45106
Clad (Laura J.) Memorial Scholarship	No	CC45107
Cock (Millicent) Estate	No	CC45108
Collee (W.) Library Trust	No	CC45109
Collins (Clifford) Memorial Trust	No	CC45110
Connal (John) Scholarships	No	CC45111
Cook (Charles) (Warwick House) Scholarship	No	CC45112
Cook Memorial Prize	No	CC45114
CWF Hamilton Scholarship	No	CC45115
Earle (Ralph H) Prize - Chemistry Seminar	No	CC45116
Economic Society Prize	No	CC45117
Electric Power Computer Applications Trust	No	CC45118
Electrical Association for Women Prize	No	CC45119
Ellwood (Harry) Bequest	No	CC45120
Endowment (The) Trust for the University of Canterbury	No	CC45121
Ensom Prize	No	CC45122
Erskine Trust	No	CC45123

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### **Variation of these terms and conditions**

Charities Services may amend these terms and conditions from time to time by notifying the parent.

Any registered charity forming part of the group may apply to Charities Services to have these terms and conditions amended. Please contact us at [info@charities.govt.nz](mailto:info@charities.govt.nz) or Freephone 0508 CHARITIES (0508 242 748). We may approve or decline a request to amend the terms and conditions. The parent and any affected entity will be given reasons for any decision, and given an opportunity to respond before a final decision is made.

of officers, and the rules of the group member. The parent is responsible for ensuring that this information is up-to-date. The parent can, however, delegate responsibility to a member to update that member's details. This can be done by [logging into the parent entity's dashboard](#) and assigning responsibility to the member. The annual return is not complete until the information of all group members has been checked and, where necessary, updated.

### **Duty to notify changes**

The parent entity is also responsible for notifying Charities Services of any changes to the following:

1. the name of the group or any group member
2. the contact details of the group or any group member
3. the officers of any group member, whether as a result of an officer ceasing to hold office or the appointment of a new officer(or both), or because an officer becomes disqualified under section 16(2) of the Act (for example, because the officer is convicted of a crime involving dishonesty or becomes bankrupt)
4. the balance date of the group or any group member
5. the rules of any group member
6. the purposes of any group member.

These changes must be notified to us no later than three months after the effective date of the change. This notification is to be done via use of the Update Details form online or through the annual return process. We will then check that the changes do not affect the registration status of any group member.

### **Other matters**

The parent may also be required to respond to a duty to assist notice issued under section 51 of the Act in relation to any registered charity that forms part of the group. A duty to assist notice may require certain information or documents to be provided to us within a specified timeframe where this is necessary to carry out our powers and functions under the Act.

Except as outlined above, these terms and conditions do not affect the application of the Act to each member of the group (including the parent).

### **Deregistration**

If one or more of the registered charities that form part of the group are deregistered the following conditions will apply:

1. If the parent is deregistered, the entities will cease to be treated as a group under the Act. Charities Services will remove the group registration and notify the remaining members that they continue to be separately registered under the Act.
2. If all members are deregistered but the parent remains a registered charity, Charities Services will remove the group registration. The parent will be notified of this change. The parent will continue to be separately registered under the Act.
3. If any member (other than the parent) is deregistered, the remaining registered charities will continue to be treated as part of the group on the terms and conditions as above.

If the group registration is removed, the registered charities that formed part of the single entity must meet the requirements of the Act (such as filing annual returns and updating details) themselves.

## Schedule A Varied Terms and Conditions

The following terms and conditions apply to the single entity group registered under the Charities Act with the registration number CC45255.

### The name of the Group

The new name of the group shall be the 'University of Canterbury and Trust Funds Group' (the Group).

### Group members

The parent for the Group will be the 'University of Canterbury' (CC24221), and as parent will be responsible for meeting certain requirements under the Charities Act 2005 (the Act) for itself, and for all the members of the group. These requirements include preparing an annual return, and notifying Charities Services of any changes to name, address for service, balance date, rules, purposes or officers of any group member. Further details about the requirements are included below.

The list of members of the Group are attached as Schedule B.

If, in future, your group would like to add or remove any member, please contact us ([info@charities.govt.nz](mailto:info@charities.govt.nz) or Freephone 0508 CHARITIES (0508 242 748)).

### Annual returns

The parent entity is responsible for preparing and submitting one annual return and one set of consolidated financial statements that cover all the activities, balances (etc) of the group members.

The annual return is due within six months after the group's balance date (end of the financial year). The annual return and financial statements must be submitted online. The parent entity can do this by [logging into the parent entity's dashboard](#).

Under the new reporting standards that apply to the preparation of financial statements, consolidated financial statements are required where one entity controls another. The "controlling" entity is responsible for prepare consolidated financial statements which combine its financial statements with the financial statements of the "controlled" entities in accordance with the relevant standard (PBE IPSAS 35 (NFP) *Consolidated and Separate Financial Statements* (Not-For-Profit), available on the [External Reporting Board website](#)).

In general, Charities Services is satisfied that, where control exists, consolidated financial statements meet the needs of users and the purposes of the Act (which we are required to consider under section 46(1B) of the Act).

The financial statements should include, in the statement of accounting policies section, a brief description that the reporting terms and conditions set by Charities Services require the parent entity to prepare consolidated financial statements. This is a requirement of the Charities Act 2005 (section 46(1C)).

As part of the annual return process, we require entities to check and, where necessary, update key information we hold on the group members. This includes contact details, details

Evans Fund	No	CC45124
F A Hayek Scholarship	No	CC45126
F.M. Warren Scholarship in Art History	No	CC45127
Farr (Professor C.C.) Memorial Scholarship	No	CC45129
Fenwick (Christopher Evelyn) Estate	No	CC34669
Fleming (Gwendoline M) Prize	No	CC34679
Geography Research Students Conference Fund	No	CC45130
Gibbs (or Mills) Trust	No	CC45131
Graduates Association Scholarship	No	CC45132
Griffiths (The Vernon) Prize in Musical Leadership	No	CC45133
Guardian Trust Masters Scholarships In Commerce	No	CC45135
Habens Prize	No	CC45136
Hagyard (Thomas) Prize	No	CC45137
Hailstone (Maxwell John) Memorial Fund	No	CC45138
Harrison (S.P.A.) Library Trust	No	CC45139
Harrison (S.P.A.) Memorial Trust	No	CC45140
Hartley (Sir William) Scholarship	No	CC45142
Haydon (Joseph) Prize	No	CC45143
Hight (Sir James) Memorial History Prize	No	CC45144
Hight (Sir James) Orchestra Fund	No	CC45145
Holmes (Gertrude A) Bursary	No	CC45146
Hopkins Lecture Trust	No	CC45147
Hosking (Lloyd L) Scholarship In Civil Engineering	No	CC45148
Innes (Doctor John) Scholarship	No	CC45152
Isaac (Sir Neil) Scholarship in Geography	No	CC45153
Jobberns (George) Geography Prize	No	CC45154
Johnston (I.D.) Memorial Prize in Law	No	CC45155
Jones (Ethel S) Scholarship	No	CC45156
Keith Laugesen Scholarship	No	CC45157
Lingard Scholarships	No	CC45158
Lonsdale-Edgar Junior Prize in Drawing	No	CC45159
Lu (Frank P.S.) Prize in Business Administration	No	CC45160
MacArthur Prize in Law	No	CC45161
MacCallion Engineering Scholarships	No	CC45162
MacGibbon (A) Fund	No	CC45163
MacMillan (The) Brown Essay Prizes for Writers	No	CC45164
MacMillan Brown (Helen) Bursary	No	CC45165
Makepeace (W.A.) Prize in Botany	No	CC45166
Malcolm Tait Music Education Scholarship	No	CC45167
Margaret Mahy Fees Scholarship	No	CC45168
McCully (C.S.) Scholarship	No	CC45169
McElroy P. Prize	No	CC45170
McKenzie (Don) University Scholarship	No	CC45171
McLellan (AG) Prize	No	CC45172
McMillan (Ian) Prizes	No	CC45173
Mechanical Engineering Design Prize	No	CC45174
Mercer Memorial Scholarship	No	CC45175
Mickle (Doctor A.F.J.) Student Loan Fund	No	CC45176
Mills (C Wright) Scholarship	No	CC45177
Morris (RW) Prize in Engineering	No	CC45178
Morrison (Brian) Memorial Scholarship in Engineering	No	CC45179
Morrison (John) Prize in Social Work	No	CC45181
Muller (Rosemary Johnson) Fund	No	CC45182
Museum Library and School of Technical Science Trust	No	CC45183

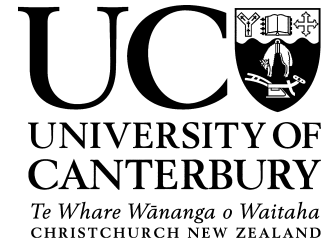
Neale (RD) Memorial Prize	No	CC45184
Nelson Science Scholarship	No	CC45185
New Zealand Federation of Graduate Women (Incorporated) Canterbury Branch Doctoral Scholarship	No	CC45186
New Zealand Federation of Graduate Women (Incorporated) Canterbury Branch Trust Board Masters Scholarship	No	CC45187
New Zealand Federation of Graduate Women (Incorporated) Canterbury Branch Undergraduate Scholarship	No	CC45188
New Zealand Geographical Society Trust	No	CC45189
New Zealand Post Management Science Scholarship	No	CC45191
Orion Masters Scholarship	No	CC45192
Overton (The Ethel Rose) Scholarship	No	CC45193
Page Memorial Prize	No	CC45194
Percival (Edward) Memorial Prize	No	CC45195
Petersen (GM) Memorial Prize	No	CC45196
Pilgrim Prize	No	CC45197
Pocock (LG) Prize Fund	No	CC45198
Priest (Hugh F) Memorial Prize (Psychology)	No	CC45201
Rathbone (Lissie) Scholarship	No	CC45203
Reed (Barbara Mito) Award	No	CC45204
Rhodes (Winston) Prize in English	No	CC45205
Roffey Prize in American Studies	No	CC45206
Rutherford (Lord) Memorial Research Fellowship	No	CC45208
Sawtell-Turner Prize	No	CC45209
Seabrook (Doctor Jean) Prize	No	CC45210
Seager Prize in Fine Arts	No	CC45211
Siemon (SR) Prize in Chemical Engineering	No	CC45212
Sims Empire Scholarship	No	CC45213
Sociology Graduate Students Conference Fund	No	CC45214
Steven Library Endowment Fund	No	CC45215
Tait Chair of Communications	No	CC45216
Templin Bursary	No	CC45217
Templin Prize	No	CC45218
Templin Scroll	No	CC45219
The G.B Battersby - Trimble Scholarship In Computer Science	No	CC45221
The John Garrett Scholarship in English	No	CC45222
The Mason Trust	No	CC45223
The Roper Scholarships	No	CC45224
The UCSA Lloyd Lilley Scholarship	No	CC45226
Three Nations Conference Award	No	CC45227
Tinline (John) Prize In English	No	CC45228
Toovey (Michael) Memorial Prize	No	CC45229
Trainor (Belinda) Scholarship Fund	No	CC45230
Trendall (AD) Memorial Book Fund (Classics Shapiro)	No	CC45231
Tytheridge Travelling Scholarships	No	CC45236
Union Of Graduates In Music Prize	No	CC45238
University Madrigal Singers Prize	No	CC45240
University Of Canterbury Alumni Association Scholarships	No	CC45242
Vale (Henry) Scholarships	No	CC45243
Various Library Trust	No	CC45244
Von Haast (The Sir Julius) Prize	No	CC45247
Wells (Ada) Prize	No	CC45249
Westpac Southland Scholarship	No	CC45250
Whitcombe (Beh) Bequest	No	CC45251

Whybrew (Ken) Scholarship	No	CC45252
Wilson (Brent) Memorial Prize	No	CC45253
Wybourne (BG) Trust Fund	No	CC45254





# Memorandum | Pukapuka



<b>To:</b>	Ki:	Council
<b>From:</b>	Nā:	Keith Longden
<b>Date:</b>	Rā:	17 March 2020
<b>Subject:</b>	Kaupapa:	<b>UC Trust Funds – four remaining trusts</b>

## **Recommendation:**

*That the proposal on the options for the four trusts no longer considered to be part of the University be approved.*

## **Purpose:**

To present the proposals on the future treatment of the four trusts no longer considered to be under the control of the University, for approval by Council on behalf of the University as Trustee.

## **Executive Summary:**

The University is Trustee of the UC Trust Funds (UCTF), including all the component entities.

A separate paper on the Charities Commission registration of the University and the majority of the UCTF is included in this meeting's agenda. The University will become the lead trust in a group of trusts under a single registration, filing a single set of financial statements.

However, not all trusts in the UCTF fall to be included in this registration. The Office of the Auditor-General has determined that four trusts in UCTF do not fall under the control of the University. As a consequence, the share of net assets relating to those trusts is not included in the University's financial statements.

Accordingly, and for the first time, the four trusts not included within the University registration must become separately registered. Additionally, all trusts must prepare and present annual financial statements as part of their continuing registration as a trust under the Charities Act 2005. None of the trusts' financial statements fall to be audited.

The four UCTF entities that did not meet the test of "control" are as follows:

Bickerton-Widdowson Memorial Trust  
Power Engineering Excellence Trust (PEET)  
Royal Society Canterbury Branch  
Canterbury History Foundation Inc.

The UCTF Steering Group has met (minutes attached) and proposes a strategy to address the next steps to ensure the University meets its fiduciary and compliance obligations to the four trusts. The proposal to be made to each trust is that, subject to their agreement:

- Net assets and trust management would be transferred to UC Foundation (UCF).
- The terms of the UCF’s management of the funds, including approval of distributions and investment of funds would be presented.
- The trust’s financial and registration compliance would be handled in the interim by the University
- If this was not acceptable, then the trust would have to take on the investment of assets and Charities Commission registration itself. The University would transfer the net assets as at the date of agreement to the new trustees

The Audit and Risk Committee has approved these proposals to come forward for approval by Council.

**Key Points/Strategic fit:**

All steps must be completed before 30 June 2020, which is the last day for filing the annual return and accounts at the Charities Commission.

**Financial implications:**

There will be some unbudgeted cost and administration in the preparation financial statements and the liaison with the Charities Commission.

**Attachments:**

UCTF Steering Group draft Minutes 10 March 2020.

**Documents on SharePoint for information:**

N/A

**Paper Progress:**

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
UCTF Steering Group	10 March 2020	To ARC
ARC	16 March 2020	To Council
Council	25 March 2020	For approval

# UC TRUST FUNDS STEERING GROUP EXECUTIVE COMMITTEE



## Minutes

Date	<b>10 March 2020</b>
Time	10.00am
Venue	Stewart Room, Matariki
Present	Mr Jeff Field (Chair), University Registrar Mr Keith Longden, Chief Financial Officer Ms Lynn McClelland, Executive Director, Student Services and Communications
Apologies	None
In attendance	Adrian Hayes, Financial Controller Jo Dowling, Director, Alumni and UC Foundation
Four external UCTF entities	<p>Members met to discuss the consequences of the incorporation of the UC Trust Fund (UCTF) entities into the University's financial reporting. The financial statements of the Erskine Trust and the other 160 charitable funds are now reported and audited as part of the consolidated reporting for the whole UC and UCTF group, with the UC Foundation (UCF) reported separately.</p> <p>One consequence is that four UCTF entities have been deemed by the Office of the Auditor-General to not meet the test of control by UC, and hence require separate charitable registration and preparation of 2019 financial statements. The four entities are:</p> <ul style="list-style-type: none"> <li>• Bickerton-Widdowson Memorial</li> <li>• Power Engineering Excellence Trust (PEET)</li> <li>• Royal Society Canterbury Branch</li> <li>• Canterbury History Foundation Inc.</li> </ul>

Members considered a paper by Mr Hayes on the implications of the ruling for the four external trusts, and an analysis of the status of the four.

Discussion included:

- The distinction made between public-benefit entities (Bickerton-Widdowson) and non-PBE entities
- The need to move the trusts out of the UCTF environment
- Options for that included transfer of the funds to the UCF or return of the funds to the external trustees
- The need for UCF to be explicit about the terms of that transfer
- The need for the external trustees to agree to the terms proposed

After discussion it was agreed that the proposal to be made to each trust was that, subject to their agreement:

- Net assets and trust management would be transferred to UCF
- The terms of the UC Foundation's management of the funds, including approval of distributions and investment of funds would be presented
- The trust's financial and registration compliance would be handled in the interim by the University
- If this was not acceptable, then the trust would have to take on the investment of assets and Charities Commission registration itself. The University would transfer the net assets as at the date of agreement to the new trustees

Moved

***That the proposal on the options for the four trusts no longer considered to be part of the University be forwarded to Council via the Audit and Risk Committee for approval.***

Carried

The meeting closed at 10.32am.

Next Meeting

To be advised.

SIGNED AS A CORRECT RECORD: \_\_\_\_\_

DATE: \_\_\_\_\_

**Report to the Council from a meeting of the  
Finance, Planning and Resources Committee  
held on Monday 16 March 2020**

The Committee recommends:

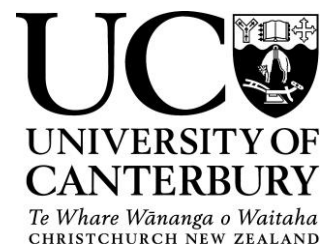
1. CAPEX Quarterly Report to 31 December 2019

***That: Council note the CAPEX summary report to 31 December 2019.***

Mr Peter Ballantyne  
**Chair**  
**Finance, Planning and Resources Committee**  
18 March 2020



# COVER SHEET



<b>To:</b>	<b>Ki:</b>	Council
<b>From:</b>	<b>Nā:</b>	Keith Longden
<b>Date:</b>	<b>Rā:</b>	03 February 2020
<b>Subject:</b>	<b>Kaupapa:</b>	<b><i>31 December 2019 quarterly capital expenditure report</i></b>

## Recommendation:

***That the 31 December 2019 quarterly capital expenditure report be received for information.***

**Purpose:** To show continuing progress on current projects.

## Executive Summary:

The report shows continuing progress on many projects, but with an underspend against the 2019 full year capital budget of \$21.868 million, which is contributed by \$21.241 million on UC Futures and other projects and \$0.628 million on Colleges and Services Units.

- The RRSIC Stage 1 final account was agreed with Fletcher, the \$1 million UC have held back in relation to the provision of O&M Manuals was released in October 2019 based on all the required paperwork being completed.
- The opening of the Beatrice Tinsley building (RRSIC Stage 2) was held successfully in 1<sup>st</sup> October 2019. UC also agreed on the settlement with Dominion on Stage 2, the payment was made to Dominion on 18<sup>th</sup> December 2019. Practical Completion and Code Compliance Certificate were also achieved in December 2019.
- Rehua is at the tail end of the project, UC and Hawkins are following a dispute resolution process that currently leads to mediation, or arbitration if mediation talks break down:
  - 7<sup>th</sup> February 2020 Hawkins to provide its substantive response to UC's disputed claims;
  - 21<sup>st</sup> February 2020 Hawkins and UC to exchange mediation position statements;
  - Early March 2020 Two-day mediation with Geoff Sharp as mediator.

Garden Hall project is currently on programme and on track for completion in line with project milestones and completion date February 2021.

Both Practical Completion and Code Compliance Certificate were awarded to UCSA, UC made the final settlement payment to Leighs Construction in December 2019. The project team forecast to spend around \$250k in early 2020 for the required work that would sit outside of the Agreement.

Student First Programme overall status continues to run at RED. The Programme was re-set in December 19 and reporting provisions against the revised scope and budgetary envelope will create a re-set status of GREEN. The project spent for the year is below the budgetary amount, due to non-delivery-related work that was placed on hold pending clarity on future direction.

The total cost for the UC Wellness Precinct Infrastructure project exceeds the approved budget by \$292k due to additional cost for extraction bore development and delays as a result of design co-ordination issues.

The total cost for the Clearing the Villages project exceeds the approved budget by \$143k due to some delay in completing the Procurement Plan before Christmas.

Recreation Centre project, Council approved in principle, as a placeholder in the LTCP, expenditure of up to \$56.838 million over 2018 – 2022 to develop a new Recreation Centre in Wellness Precinct; Delegate to the Vice-Chancellor authority to enter into any contracts and/or procure any services of up to \$7.389 million to carry out the works; An implementation Business Case would come forward for approval in 2020.

**Key Points/Strategic fit:** All UC Future Projects are now complete. However, Rehua is not expected to be financially resolved until March 2020.

**Financial implications:** Capital Budget underspend in 2019 has led to a higher cash balance than budgeted. Factoring in the 2020 delays, forecast 2020 Capex is \$120.152 million, compared to Budget Capex of \$111.988 million with the major changes relating to:

- \$7.650 million delayed settlement in Rehua
- RRSIC forecasts to spend \$2.745 million for the required work that would sit outside of the Agreement
- \$319k to be spent on the Locke Building asbestos discovery and disposal strategies
- UCSA forecasts to spend \$233k for the required work that would sit outside of the Agreement
- Change in design programme for the Recreation Centre, reducing the initial forecast from \$6.358 million to \$3.575 million, with \$2.783 million to be spent in future years.

**Attachments:** Quarterly capital expenditure report



## Quarterly Capital Expenditure Report

### FINANCIAL SERVICES

December 2019

Prepared by:	Sarah Guo and Project Managers
Prepared for:	Keith Longden
Date:	17 March 2020
Version:	2.1

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<b>Windows 10 and Office 2016 Upgrade – L0279</b> .....	Error! Bookmark not defined.
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## Executive Summary

### Overall position – UC Capex

The reconciliation to the 31 December 2019 monthly report is as follows:

Capex	2019 FY Capex Actual	2019 FY Capex Budget	FY Variance
Other Projects + Minor Capital Works	72,190,989	82,786,842	10,595,853
Colleges + Service Units	7,749,548	8,377,099	627,551
	79,940,537	91,163,941	11,223,404
UC Futures	21,818,066	32,462,968	10,644,902
<b>TOTAL</b>	<b>101,758,603</b>	<b>123,626,909</b>	<b>21,868,306</b>

\* UC Futures includes RRSIC, CETF and Rehua

### Notes:

1. At the end of Quarter 4, the three UC Futures Projects are \$10.6 million behind full year budget. The main contribution to this variance is RRSIC \$9.7 million and Rehua \$3.0 million behind the full year budget.
2. Quarter 4 spend on other projects was \$10.6 million under full year budget. Some of the projects have not progressed as quickly as was anticipated during 2019 budget cycle. Specifically, programme delays have affected the UCSA Redevelopment, Sport and Recreation Centre, Arts Precinct – Locke & Logie and Clearing the Villages – Wheki projects, and the Student First Programme contractor's cost is one month in arrears. The Dovedale and Kirkwood Village Rehabilitation was budgeted for \$3.2 million, but is now to be done in 2020. The Ilam Boiler and Te Ao Marama projects are reviewing its options and now be delayed and have been removed from future forecast spend pending further investigation into these projects.
3. Colleges / Services Units capital spend is \$0.6 million under full year budget. The majority of the spend normally occurs in the quarter three and four, and the Strategic Research fund is budgeted to be used in the second half of the year, and the final bids were selected in Quarter 3 (High-Mass Mass Spectrometer; Biomolecular NMR Facility and Nanoscribe Photonic Professional GT2). Procurement plans are approved now for GT2, the spend will be in 2020.
4. Minor capital sectors (Library, Facilities Services and Campus Services) all achieved their annual capital spend budget. ITS spent came under the annual budget due to the infrastructure underspend for file storage and Jade upgrade.

## Capital Projects – In flight (excluding UC Futures projects and LTCP Placeholder)

Capital Projects \$000's		2019 YTD Capex	Financial Summary			
			Cost To Date (Opex+Capex)	Current Total Approved Budget	Forecast Total Cost (Opex+Capex)	Variance (Current Approved - Forecast Total)
<b>Top Projects</b>						
	Student First Programme	3,740	17,590	21,800	21,569	231
	UCSA Building	11,710	31,105	32,989	31,358	1,631
	Arts Precinct - Locke & Logie	5,651	7,617	11,948	11,948	-
	Garden Hall Accommodation	32,164	34,237	77,735	77,735	-
	CMP - Sport and Recreation Centre	1,919	2,206	56,838	56,838	-
<b>Buildings and Services</b>						
	UC Wellness Precinct Infrastructure	147	3,729	3,437	3,729	(292)
	Clearing the Villages (Ilam, Dovedale and Wheki)	848	2,570	2,572	2,715	(143)
	Te Papa Hauora (Health Precinct)	22	1,466	1,611	1,466	144
	New Teaching Spaces	(49)	1,055	1,365	1,055	310
	CWRK UN00 Product Design School Growth	729	1,276	1,500	1,276	224
	Other Projects	156	316	879	752	127
<b>Technology and Business</b>						
	Storage Enhancement	587	3,866	4,824	3,916	908
	Identity Access Management (Stage 2) - IAM	1,471	2,969	3,268	2,994	273
	Windows 10 and Office 2016 upgrade	217	756	776	775	1
	Digital Payment Solutions	360	467	1,394	1,322	72
	<b>Total Open Projects</b>	<b>59,670</b>	<b>111,837</b>	<b>222,934</b>	<b>220,061</b>	<b>2,873</b>
<b>Minor Capital</b>						
	Library - Information Resources	4,177	4,177	3,727	4,177	(450)
	Library - Others	129	129	79	129	(49)
	Facilities Services - Minor Capital	2,680	2,680	1,731	2,680	(949)
	ITS - Equipment	2,164	2,164	3,060	2,164	896
	ITS - AV	879	879	810	879	(69)
	Campus Services	587	587	579	587	(8)
	Contract Insurance Allocation	19	19	-	19	(19)
	Finance Services - RPA	613	613	-	613	(613)
	DVC Strategic Research	-	-	1,500	-	1,500
	College / Unit Minor Capex (Including Teaching & Research Equip)	7,750	7,750	8,352	7,750	603
	<b>Total Minor Capital</b>	<b>18,995</b>	<b>18,995</b>	<b>19,838</b>	<b>18,995</b>	<b>842</b>
<b>Closed Projects</b>						
	Co-location of Communication Disorders	522	2,737	1,342	614	728
	Connon Hall	444	1,402	703	444	259
	Reconcil line	309.752				
	<b>TOTAL</b>	<b>79,941</b>	<b>134,971</b>	<b>244,817</b>	<b>240,115</b>	<b>4,703</b>

### KPI - Traffic Light

Green - Below Current Total Approved Budget

Amber: Within 5% of Current Total Approved Budget

Red: 5% + above Current Total Approved Budget

## 5 Year Forecast

Capital Projects \$000's		Total Forecast (Opex + Capex)						Total
		Prior Years	2019	2020	2021	2022	2023	
<b>Top Projects</b>								
	Student First Programme	11,821	5,769	3,979	-	-	-	21,569
	UCSA Building	19,394	11,711	253	-	-	-	31,358
	Arts Precinct - Locke & Logie	987	6,630	4,331	-	-	-	11,948
	Garden Hall Accommodation	1,974	32,263	41,638	1,860	-	-	77,735
	CMP - Sport and Recreation Centre	251	1,955	3,598	27,856	22,775	402	56,838
<b>Buildings and Services</b>								
	UC Wellness Precinct Infrastructure	3,582	147	-	-	-	-	3,729
	Clearing the Villages (Ilam, Dovedale and Wheki)	1,641	929	145	-	-	-	2,715
	Te Papa Hauora (Health Precinct)	1,441	25	-	-	-	-	1,466
	New Teaching Spaces	1,101	(46)	-	-	-	-	1,055
	CWRK UN00 Product Design School Growth	421	854	-	-	-	-	1,276
	Other Projects	49	267	136	100	100	100	752
<b>Technology and Business</b>								
	Storage Enhancement	3,249	617	51	-	-	-	3,916
	Identity Access Management (Stage 2) - IAM	1,504	1,465	25	-	-	-	2,994
	Windows 10 and Office 2016 upgrade	522	233	20	-	-	-	775
	Digital Payment Solutions	-	467	855	-	-	-	1,322
	<b>Total Open Projects</b>	<b>48,600</b>	<b>63,553</b>	<b>55,167</b>	<b>29,916</b>	<b>22,975</b>	<b>602</b>	<b>220,813</b>
<b>Minor Capital</b>								
	Library - Information Resources		4,177	4,450	4,734	4,995	5,318	23,674
	Library - Others		129	87	203	155	183	756
	Facilities Services - Minor Capital		2,680	9,406	11,016	11,236	11,461	45,799
	ITS - Equipment		2,164	5,419	8,878	6,813	4,200	27,474
	ITS - AV		879	1,453	1,512	2,105	2,350	8,300
	Campus Services		587	593	647	697	607	3,130
	Contract Insurance Allocation		19	-	-	-	-	19
	Finance Services - RPA		613	547	292	-	-	1,452
	DVC Strategic Research		-	2,000	2,000	2,000	2,000	8,000
	College / Unit Minor Capex (Including Teaching & Research Equip)		7,750	11,238	11,293	12,064	10,566	52,911
	<b>Total Minor Capital</b>	<b>-</b>	<b>18,995</b>	<b>35,192</b>	<b>40,575</b>	<b>40,066</b>	<b>36,685</b>	<b>171,513</b>

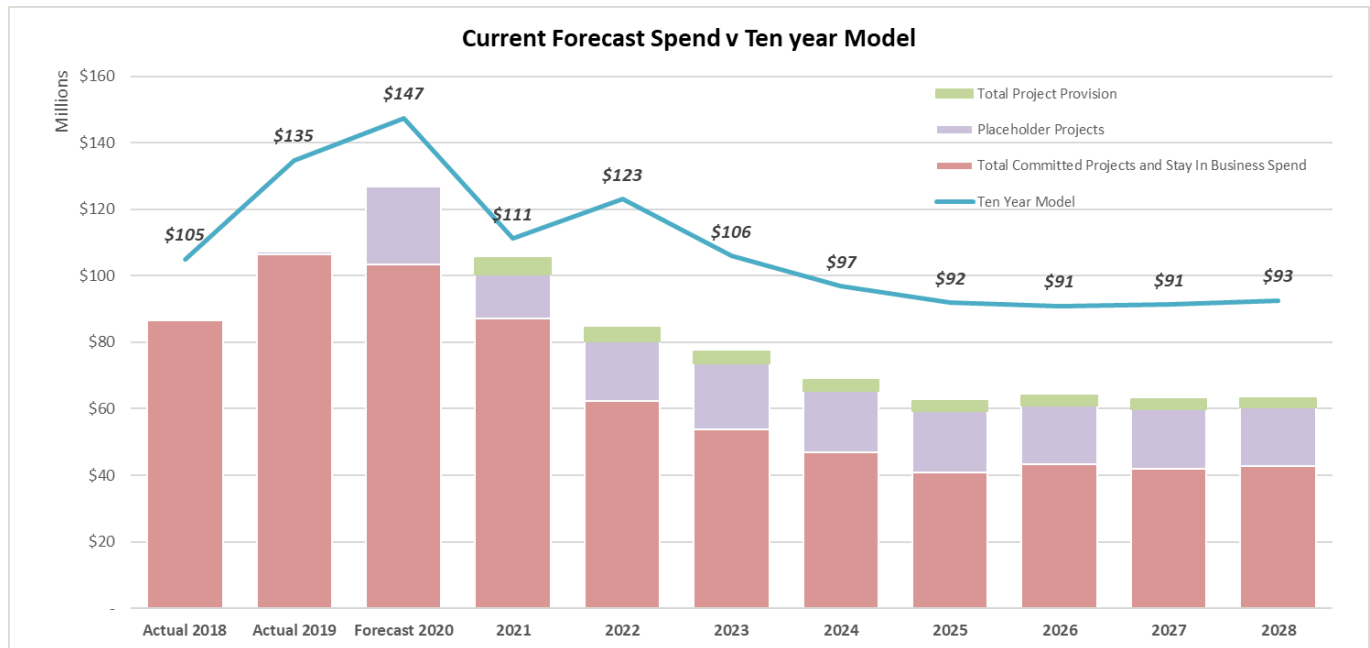
## Projects at Discovery Phase

Project Under Discovery Phase \$000's		Project	Discovery Cost PTD	2019 Approved Budget
1	CWRK GS25 Ilam Boiler - Low Carbon Energy Strategy	B1922	261	5,510
2	CWRK GS41 Dovedale Boiler - Low Carbon Energy Strategy	B1924	11	4,590
3	CWRK UN00 Dovedale Village Rehabilitation Project	B1927	11	-
4	CWRK UN00 Kirkwood Village Rehabilitation Project	B1928	25	-
5	Wellness precinct transport and safe campus access	B1920	153	-
6	Cyber Security Programme	L0271	398	-
7	Academic Workload Solution Implementation	L0282	7	-
8	Hazardous Substance Remediation	L0297	49	-
9	Horizon Replacement Project	L0298	9	-
10	Office365 - Full Implementation Phase 1	L0303	33	-
11	Higher Degree Management & Ethic Monitoring	L0312		
12	Work Integrated and Off-Campus Learning	L0313		
13	Mass Online Education	TBA	-	-
14	eLearning Programme	eLearning	-	-

**\* Projects are in Discovery Phase which doesn't have 2019 Approved Project Budget, the discovery costs are covered by the Services' Operational 2019 Budget.**

## Summary of current project forecast spend

Summary of current project forecast spend by Activity has been removed from this quarter report due to the New Strategic Implementation Action Plan. Items will be added and Activity grouping will be reviewed.



The graph above outlines the future years' forecast spend, as outlined in the current Long Term Capital Plan, as compared to the amount allocated in the Ten Year Model for capital projects. Actual project spend (capital and operational expenditure) in 2018 and 2019 and the future years' forecast is included in the graph for comparison purposes.

## Post Implementation Reviews

The following projects are being proposed for review as part of the 2019 PIR Plan.

Project code	Description	Actual end date	Total budget approved (\$000)
<b>B1857</b>	Electrical Link +Recladding	Jul 2017	5,491
<b>B1846</b>	Arts Centre	May 2017	4,551
<b>L0180</b>	Skype for Business	Dec 2017	1,584
<b>B1984</b>	Dovedale accommodation (Sonoda extension)	Feb 2018	10,253
<b>B1982</b>	Te Papa Hauora	Jul 2018	1,611

Note: The RRSIC PIR will be scheduled at the end of Stage 2.