COUNCIL

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

EMBARGOED UNTIL 4pm WEDNESDAY 31 OCTOBER 2018

Agenda

Date **Wednesday 31 October 2018**
Time 4.00pm

Venue Council Chamber, Matariki

Refer to Page No.

1. APOLOGIES:

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 (29 August 2018) 1-4

4. MATTERS ARISING

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9. FROM THE ACADEMIC BOARD
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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	Minutes of the meeting held on 26 September 2018 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.	
5	Matters arising from those minutes		
6	**From the Chancellor**		
6.1	Report from Honours and Appointments Committee	To protect the privacy of natural persons.	7(a)
6.2	Emeritus Professor nomination	To protect the privacy of natural persons.	7(a)
6.3	Executive Committee Report – Homestead Lane	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)
6.4	Vice-Chancellor Farewell	To protect the privacy of natural persons.	7(a)
6.5	Call for nominations for Chancellor	To protect the privacy of natural persons.	7(a)
7.	**From the Vice-Chancellor**	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.	**From the Finance, Planning and Resources Committee**		
8.1	UC Futures Reports		
8.1.1	Summary Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.1.2	CETF Close-out	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.1.3	RRSIC Stage 2 Increased Costs	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.1.4	Rehua Increased Costs	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.1.5	GOG Quarterly Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.2	Student First		
8.2.1	Monthly Report	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)
8.2.2	Student First Stage Gate Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.3	Financial Report to 30 September 2018	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.4	Movements in Year End Forecast to September 2018	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.	**From the Audit and Risk Committee**		
9.1	Draft Minutes 15 October 2018	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	Lessons for UC from the CBA Report	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)
9.3	Risk Appetite	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)
9.4	Strategic Risk Register Review	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)

10.	**Strategic Discussion**	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)
11.	**Protected Disclosures**	To protect the privacy of natural persons.	7(a)

I also move that the Deputy Registrar, UC Directors and the University Council Co-ordinator be permitted to remain at this meeting because of their knowledge of the various matters being discussed. 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.

9. REPORT FROM THE PUBLIC EXCLUDED SESSION

10. GENERAL BUSINESS

11. NEXT MEETING –**Wednesday 28 November 2018.**

COUNCIL

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Minutes

Date	**Wednesday 26 September 2018**
Time	4.05 pm
Venue	Council Chamber, Level 6 Matariki
Present	Dr John Wood (Chancellor), Dr Rod Carr (Vice-Chancellor), Ms Sue McCormack (Pro-Chancellor), Mr Peter Ballantyne, Dr Rosemary Banks, Ms Catherine Drayton, Professor Roger Nokes, Mr Warren Poh, Mr Josh Proctor, Mr Malcolm Peterson Scott, Mr Shayne Te Aika, Mr Steven Wakefield.
Apologies	None
In Attendance	Mr Jeff Field, University Registrar Mr Bruce White, Acting Registrar Professor Ian Wright, Deputy Vice-Chancellor Professor Catherine Moran, AVC Academic Dr Darryn Russell, AVC Māori Ms Alex Hanlon, Executive Director, Learning Resources Mr Adrian Hayes, Financial Controller Ms Robyn Nuthall, UC Futures Programme Director Mrs Raewyn Crowther, University Council Co-ordinator At the request of the Chancellor, the Pro-Chancellor Sue McCormack took the chair.
CONFLICTS OF INTEREST	No conflicts of interest were raised.
MINUTES	The minutes of the meeting held on 29 August 2018 were approved and signed as a correct record.
MATTERS ARISING	**Constitutional Change** Mr Field advised Council of the meeting with the TEC Chief Executive, Tim Fowler. It was likely that the revised constitution would be Gazetted by 30 October 2018 which would make it possible for members of Council to serve 12 years in total rather than four terms. Ms Drayton advised that

she would not seek the extension and would conclude her service on Council on 31 July 2019. Ms McCormack indicated that she would be available to stay on for the further period of time.

FROM THE CHANCELLOR

Rosemary Banks
This being the last meeting for Rosemary Banks, Council took the opportunity to congratulate her on her appointment as NZ Ambassador to Washington and thanked her for her service to the Council and the University.

Chancellor's Meetings
The schedule of meetings was provided for information.

Council Work Plan 2018
An updated copy of the Work Plan was tabled and the changes made since the plan was last tabled were noted.

Degrees Conferred in Absentia
The Pro-Chancellor 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. An addendum to the August list was noted.

FROM THE VICE-CHANCELLOR

Monthly Report
Dr Carr presented the report which was taken as read. The following point was highlighted:

- The EQC settlement agreement had been presented to Campus Living Villages (CLV) because CLV, as the lessee, has an insurable interest in the buildings.

Moved

<u>That</u>: The Vice Chancellor's Report be received.

Carried

FROM THE ACADEMIC BOARD

Academic Board Report
Professor Ian Wright presented the report from the meeting of the Academic Board. In discussion of the Academic Board meeting it was noted:

- Elsevier had now suspended German institutions from accessing their online services in relation to the dispute around licence fees.
- The possibility of an alternative service to REANNZ was being explored with Victoria University of Wellington
- The Working Group had paused the Review of the Academic Board pending the arrival of the new Vice-Chancellor and would pick up this work again in May 2019.

Critic and Conscience of Society and Academic freedom Principles and Policy
The policy was owned by Council and had undergone a thorough review. It had been widely consulted on and discussed. It was noted that there was a

tension between the freedom of academics to undertake research that was of interest, and the need to undertake externally funded research.

Moved

That: Council:

i) note the Academic Board Report

ii) approve the changes, including the name of the policy, to the Critic and Conscience of Society and Academic Freedom Principles and Policy.

Carried

PUBLIC EXCLUDED MEETING

Moved

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	Minutes of the meeting held on 29 August 2018 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.	
5	Matters arising from those minutes		
6 6.1	**From the Chancellor** Academic Board Advice on Kia Tōpū	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)
6.2	Innovation Medal	To protect the privacy of natural persons.	7(a)
6.3	GOG Report to the Minister	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
7. 7.1	**From the Vice-Chancellor** Children's University	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.	**From the Finance, Planning and Resources Committee**		
8.1	UC Futures	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.1.1	- UC Futures Summary		7(h)
8.1.2	International Growth Strategy: 2018 Refresh	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	
8.2	Kia Tōpū Business Case	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.3	150th Jubilee	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
8.4	Student First Update Report	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)
8.5	Movements in Year End Forecast to August 2018	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)

9.	**Strategic Discussion**	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)
10.	**Protected Disclosures**	To protect the privacy of natural persons.	7(a)
11. 11.1	**General Business** 10 Year Financial Model	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
11.2	E-Learning Update	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
11.3	Electronic Board Papers	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)

and that the relevant University management representatives be permitted to remain at this meeting because of their knowledge of the various matters being discussed. 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.

Carried

REPORT FROM THE PUBLIC ECLUDED SESSION

Members returned to public meeting at 6.35pm.

GENERAL BUSINESS

There were no items of general business.

The meeting closed at 6.36pm.

NEXT MEETING

The next meeting is scheduled for 4.00pm on Wednesday 31 October 2018.

SIGNED AS A CORRECT RECORD: _____

DATE: _____

Memorandum

Vice-Chancellor's Office
Email: chancellor@canterbury.ac.nz

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

To:	Council Members
From:	Dr John Wood, Chancellor
Date:	23 October 2018
Subject:	**CHANCELLOR'S MEETINGS**

I outline for you the key events I have attended on behalf of UC since my last report to Council. I have indicated (with an asterisk) those events at which I was required to deliver a speech. Those speeches can be viewed in the "Chancellor Speeches" folder on the Council's Sharepoint site.

- Executive Committee Meeting
- Meeting with Minister Megan Woods
- UCSA Supreme Club Awards
- Met with Sheffields re potential Council members
- Hosted farewell function for Rosemary Banks with UC and external guests
- Chaired Honours and Appointments Committee meeting
- Attended Audit and Risk Meeting
- Attended FPRC Committee meeting
- Met with the Mayor of Christchurch and City Councillors
- Discussion with Tim Fowler TEC regarding Ministerial appointment to Council
- Met with Kerry McCarthy, consultant, re 150th Anniversary planning
- Briefing via Skype with Professor de la Rey regarding Council matters
- UCF Board of Trustees Meeting
- Kaikoura Museum 50th Anniversary

J. J. Wood

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UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

VICE-CHANCELLOR'S REPORT TO UNIVERSITY OF CANTERBURY COUNCIL OCTOBER 2018

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1. INTRODUCTION

Early indicators of applications to enrol (ATEs) for next year remain positive – attendance at outreach and liaison events showed increases on previous years and applications to halls of residence also showed increases. Our third week of ATE data also showed double digit percentage increases on the same time last year.

Semester 2 teaching has concluded and examinations are upon us. The Summer School programme opened for enrolments. Staff moving to Rehua are about to pack their bags (finally!). The 2019 timetable has been published with less than 7% of teaching activities taking place outside 9am to 5pm.

While a number of construction projects are closing, others are progressing, some are moving toward contracting, while others remain in business case development for University Council approval.

The deployment of the Council-approved multimillion-dollar capital investment in hardware and software to support our IT network can't come soon enough. Major upgrades are expected to be installed, tested and available in time for the new year. This should materially improve system response times and improve the robustness of our online systems.

Work continues on a number of strategic initiatives including discussions with Lincoln University about partnership and establishing our initiative to develop human capital to support the sustainable production, efficient processing and secure distribution of healthy foods – Kia Tōpū.

2. STRATEGIC MATTERS

2.1 Kia Tōpū

Work continued on the realisation of Kia Tōpū as a strategic development across the University of Canterbury. This has been confirmed by University Council endorsing the Kia Tōpū business case at its September 2018 meeting. A potential investment of up to $30m over five years was endorsed to assist in the development of the programme. The two areas of development for Kia Tōpū are in the areas of a research institute and in the taught course programme.

In particular, the development of a research institute is seen as one of the tools that advance the aims of Kia Tōpū. A Research Institute Working Group (RIWG) has been formed to frame a research agenda and focus for Kia Tōpū. Similarly, developing programmes/courses, both from existing areas of offerings along with potential new initiatives, is a second tranche of work. A Programme Development Group (PDG) has been established to lead this kaupapa. Both are overseen by the Kia Tōpū steering group and exciting opportunities are emerging. Market research, domestic and international, is under way to assist in framing our focus and future with the project, with preliminary feedback expected in November.

The next Kia Tōpū staff hui is scheduled for 23 November, when we will look at the work to date across the RIWG and PDG, while looking to provide the next phase of our strategic implementation and initiatives for the programme.

2.2 University of Canterbury/Sunwah (Science City Investments)

From 9-11 October, UC representatives held further discussions with Sunwah (or potentially its subsidiary company, Science City Investments) about a potential partnership and investment in Kia Tōpū. Parallel discussions were also held with NZTE as it related to Kia Tōpū and potential China investment.

The discussions confirmed that there remains an opportunity to develop this partnership, while also bringing forward indications from our engagement with NZTE, at least another 50 Chinese prospective partners potentially interested in Kia Tōpū. NZTE also indicated from the Kia Tōpū discussions, that they have identified UC as a 'tier 1 business', meaning we will gain high-level support from NZTE to engage with prospective Chinese partners.

Science City Investments confirmed they remain committed to the conceptual investment related to Kia Tōpū and indicated the CEO Mr Ye and director and shareholder Ms Kang, along with representatives from senior management, intend to visit UC in February 2019. Ms Kang is the GM of the Sunwah subsidiary Culture and Technology. In this engagement, the potential to develop a relationship with Guangzhou Academy of Fine Arts was raised. Indication of interest in pursuing a relationship with UC in Māori identity and revitalisation and transposing that revitalisation within China in a contemporary global community was discussed. In particular, they expressed an interest in holding an exhibition in 2019 comparing Māori and Chinese societies, funded by Ms Kang through Sunwah/SCI/Guangzhou Academy of Fine Arts (GAFA).

2.3 UC Futures

In September 2014, the Crown and UC signed an agreement that the Crown would support the University's recovery from the effects of the Canterbury earthquake sequence. The agreement was that the Crown would provide up to $260m and that the University would deliver the rebuild of the Engineering and Science precincts and the new Education building, Rehua, along with introducing UC-wide graduate attributes, increasing enrolments to pre-quake levels and returning to operating surpluses by 2019.

The payments were to be made in three tranches: an initial payment of $10m as a contribution to the costs of developing the plans for the rebuild and the programme as a whole; a $100m payment after Engineering Precinct business cases were submitted; $100m once the final business case for the Science Precinct was submitted and a final $50m if UC continued to need the support in the 2018/19 Government financial year. There was also an insurance proceeds sharing agreement which saw UC refund $8m to the Crown. These contributions are part of the wider rebuild programme of about $1.2 billion across the whole of the main campuses in Christchurch and the university's field stations. UC received an insurance settlement of about $550m for costs and losses arising from the earthquakes.

The Engineering precinct rebuild is complete; the Science precinct rebuild is on schedule to complete in 2019; the graduate attributes are on schedule to be incorporated into all undergraduate degrees by year end; international enrolments are well ahead of targets and domestic enrolments are forecast to hit pre-earthquake levels in 2021, a year ahead of the original target.

Domestic EFTS	Crown Funding Agreement targets	May 2018 Forecast (used in the Ten Year Model)
2018	12,684	12,227
2019	13,075	12,869
2020	13,418	13,421
2021	13,711	13,955
2022	13,967	14,363

In September, UC wrote to the Ministers of Education and Finance to confirm that it had met the requirements to receive the final tranche of payments of $50m. The Minister of Education replied with a letter of congratulations on the University's significant recovery process and authorised payment of the final $50m of Crown funding support. UC has now received the full $260m that was part of the Crown Funding Agreement. The receipt of this last tranche of support is an important milestone for UC.

2.3.1 Graduate Profile Highlights

Core Attribute: Critically competent in a core academic discipline of their degree

Learning Objective: Students know and can critically evaluate and, where applicable, apply this knowledge to topics/issues within their majoring subject.

Attribute 1: Employable, innovative and enterprising

Learning Objective: Students will develop key skills and attributes sought by employers that can be used in a range of applications.

Attribute 2: Biculturally Competent and Confident (BiCC)

Learning Objective: Students will be aware of, and understand the nature of biculturalism in Aotearoa New Zealand, and its relevance to their area of study and/or their degree.

Attribute 3: Engaged with the Community

Learning Objective: Students will have observed and understood a culture within a community by reflecting on their own performance and experiences within that community.

Attribute 4: Globally Aware

Learning Objective: Students will comprehend the influence of global conditions on their discipline and will be competent in engaging with global and multicultural contexts.

The BE(Hons) underwent a programme review signalling the completion of the major degree reviews. Programme reviews since 2014 have addressed the Graduate Profile. As of 2019, the cycle of reviews will be repeated, and changes and advances to the curriculum as a result of the implementation of the Graduate Profile will be reflected. The AVC Academic is preparing a final audit report for the Governance Oversight Group of UC Futures to report on progress and next steps in ensuring our graduates meet the UC Graduate Profile.

As the year ends, Colleges are beginning to consider new courses and qualifications for the first round of CUAP in 2019. Academic colleagues are considering ways of enhancing the Graduate Profile through collaboration and new initiatives in work and community experience.

Co-curricular and pan-University activities that support the Graduate Profile have been ongoing even as we head toward the end of teaching. For example, UCE, the College of Business and Law and UC Foundation have come together to support a scholarship for students to attend the Global Leadership Immersion Programme in China. Likewise our students through the incoming UCSA Vice-President will be joining Maori Development Team, Pasifika Development Team and academic colleagues in a symposium in Wellington on improving student outcomes, particularly for Maori and Pasifika students.

At the end of September, the Student Volunteer Army continued its good work, this time on the West Coast where they held the last camp of the year in Hokitika and carried out volunteer projects for local communities.

2.4 International

Exchange. A group of eight students from the University of Oxford spent three weeks at UC undertaking a programme called Re-imagining the City: Christchurch. This is the second year the programme has run.

Applications for outbound exchange closed in September for 2019. A number of new marketing initiatives was undertaken across campus and online in Semester 2, resulting in an almost 20% increase in outbound applications for 2019. The Mobility team is working with UC's marketing team to rebrand the exchange programme to increase its visibility on campus and give the programme a cohesive identity. This will launch with new marketing materials for 2019 under the name UC Global Exchange. An Exchange action group with members from each College is also working with the IRO on short and long term strategies to develop outbound mobility.

Study Abroad. Fall recruitment travel was undertaken for much of September, with 23 Study Abroad fairs and visits attended across the US at UC's partner institutions. New Study Abroad agreements are in process from recent outreach initiatives.

Recruitment. Recruitment trips were carried out in Malaysia, Singapore, Indonesia, Japan, Korea, Vietnam, Denmark, and Sweden to optimise student numbers for 2019.

*Conversion Management***.** The Conversion Management Team dealt with approximately 495 applications during September 2018. As at time of writing, the year-on-year comparison of international applications to UC was up 12% on conditional offers, 21% up on full offers of place and 27% up on offers of place accepted. We will continue our focus on conversion over the next quarter.

3. CHALLENGE

Promote an inspirational and innovative learning and teaching environment, recruiting and retaining students, raising standards and enhancing student success.

3.1 Marketing

The final UCMe student videos were due to be ready by the end of the month. These will run in both paid and organic social media as well other online platforms. More than 80 videos will be completed over the year. Our online results across both newsfeed and video is up 81% year on year. We have recruited and interviewed the next 26 UCMe students to feature in the brand campaign for 2019. We are in the process of evolving the UCMe brand design and the 2019 media strategy is being finalised.

The Alumni campaign is in full swing, with adverts in print and online (banner ads and social media). We have also had bonus digital billboard placements in Tauranga, Hamilton, Auckland and Wellington in premium position to further enhance the campaign.

The Summer School and Enrolments are both in market and the team was busy supporting our colleagues in the Colleges with extensive campaigns for Law, Business, Arts, Business Taught Masters and MBA.

Organic social media activity continues to be high – Facebook fans sit at over 67,000 with an average engagement rate of 4%. Instagram, Snapchat and Twitter fan growth rates are also performing well. The new search application is in its final stages of testing and will be live in the next few weeks.

The Guide to Enrolment, STAR and Summer School publications are completed and work is under way for the Calendar.

3.2 Liaison

Liaison is fully into the conversion period and spent September assisting future students to apply for accommodation and complete course planning.

Liaison officers piloted a more holistic form of course planning, taking the opportunity to create further engagement through connections to UCSA clubs, UC support services and wider community involvement (SVA). This has been well received from piloted schools and is seen as a way of making students feel connected to UC earlier. Course planning occurred throughout the country with much higher than anticipated numbers in Hawkes Bay and Bay of Plenty. This was counter to lower numbers in Auckland, Dunedin, the West Coast and Nelson/Marlborough. Course planning numbers on the whole were lower than the same time last year by 97, this is thought to be the result of the Engineering Interactive Course planner and a lag in reporting.

All future students in CRM were contacted, and a Liaison phone call out was made to over 200 students before the application due date. In an attempt to boost flagging accommodation applications from the Bay of Plenty a UC Bound activity was held. Post-event analysis saw an increase in completed accommodation applications from the region.

Future student appointments continued with 48 one-on-one appointments conducted, the majority for school students requiring course planning. 24 adult students made appointments to access general information and course planning. A further three appointments were conducted over the phone/skype, two of which were for future adult students.

3.3 Admissions

During September, Admissions prepared 19 letters of offer for students studying at CCEL, and another 60 letters of offer for UCIC students. Both cohorts will be joining UC starting February 2019. The admission, placement and budget have been completed for 45 New Zealand Aid Scholarship Students with approximately 25 more to be processed. We are expecting more applications in the near future. We are concentrating on students who opted to come to UC as their first or second choice.

3.4 Contact Centre Shared Services

The upgrade to the Contact Centre software was successfully deployed in mid-September. In preparation for the opening of enrolments, Contact Centre Advisors have been working hard at building stronger relationships with Colleges and service areas, with dedicated team members being allocated to specific outreach/liaison roles. At the same time, the Contact Centre has been developing and deploying a new SharePoint site. Both of these initiatives have already improved our efficiency and effectiveness in responding to enquiries, and our service to prospective and current students.

3.5 Enrolment

September was a steady month for the Enrolments Team, with foot traffic increasing with enquiries about summer courses and exchange. The Contact Centre, Shared Services and Enrolments worked together to update the STAR enrolment processing notes, to provide support in February to meet processing deadlines during our busiest period of the year. Together we plan to continue this collaboration in regard to UCIC enrolments, and hope to continue building connections across teams. The Enrolments team was involved in the International Enrolment Planning Workshop, and is participating in various working groups to plan the detail of the event (7-15 February 2019).

3.6 Accommodation

The team was busy processing the accommodation applications for domestic school leavers to meet the cut-off date of 28 September at noon. Early indications show a 5% lift in applications for the 2019 academic year.

The halls received scholarship recipient information to prioritise these students for places within the hall. 160 Go Canterbury scholarships will be offered with a room in University Hall. All offers of rooms were sent on 2 October. There were bi-weekly hall tours during September which had good attendance numbers of students and whanau.

3.7 Scholarships

Scholarships targeting domestic and international students starting their undergraduate studies at UC next year have been processed and offers were sent to prospective students in the first week of October. These offers align with accommodation offers, giving students certainty around the outcome of their scholarship applications as they consider their accommodation offer. There are 472 awards being made from this batch of 35 scholarships.

Applications for scholarships for postgraduate-level study opened with 67 scholarships funded by UC or donors available for application until 30 November. Plans are in place to process these scholarships quickly to support student recruitment into postgraduate-level study and to ensure the UC Doctoral Scholarship offers are made before the Christmas break.

3.8 Careers Internships and Employment

A small group of mainly UC postgraduate students volunteered to act as ambassadors for UC Careers. The students have all engaged with a variety of the services offered by UC Careers and as a result of their experiences are keen to promote and contribute to the service. The intention is that they will also enhance their own employability. Recent examples of activities facilitated by the Careers ambassadors include:

1. ‘Lunchtime Session’ with an HR staff member offering students insight into negotiating an Employment Contract.

2. Five-minute talks at lectures and tutorial groups about the benefits of engaging with UC Careers and the Co-curricular Record (CCR) from a student perspective.

An online interactive career development platform, Abintegro, is being integrated into the UC Careers website. This will provide students and alumni with a comprehensive range of useful career development and job search tools, and academics with a set of modules that may easily be integrated into their classes.

3.9 Pacific Development

Strategy Development. The Pasifika Strategy 2014-2018 has been reviewed and a revised strategy will be presented to SMT and UC Council in November.

Retention. PDT student engagements were 219 for September.

Recruitment. PDT attended the Tongan NCEA 1-3 examinations held at Christchurch Boys' High School, which gave a chance to recruit a number of students to UC and our outreach programme being held in October.

Cultural Celebrations. September saw PDT and the wider University celebrate both Tongan Language Week and Papua New Guinea Independence Day.

3.10 Student Experience

3.10.1 Student Care

The Student Care Team recorded a total of 197 student engagements during September (117 unique).

Student Care has been working with IT services to develop a SharePoint site to provide a platform for the Student Incident Response Plan (SIRP) process. This will provide comprehensive capturing of information and processes for critical incidents and students of concern.

Student Care also completed a draft International Student Experience Framework Strategy which aims to create a visible, unified, campus-wide engagement response for enhancing the experience and wellbeing of international students at UC. It is informed by the current International Education Strategy 2018-2030, the International Student Wellbeing Strategy 2017, and the Education (Pastoral Care of International Students) Code of Practice 2016. The common strategic outcomes include:

- Keeping international students safe and well while studying in New Zealand
- Achieving sustainable growth by providing high-quality education
- Delivering excellent education and student experience
- Valuing international students and their contribution to New Zealand
- Developing global citizens

Staff also attended a Drugs on Campus hui at Ara, which focused on:

- Drugs, risks and prevalence
- Understanding addiction
- Harm reduction messaging
- Running safe events on campus
- Campus policies
- Getting help
- Drug testing
- Resources

The learning will be incorporated into initiatives and communications at UC in 2019.

3.10.2 Emerging Leaders Development Programme (ELDP)

ELDP is UC's flagship scholarship programme and an important development initiative for the next generation of student leaders. We reviewed 1677 ELDP 2019 scholarship applications for 100 places. Offers have been made by scholarships office.

An end of Year Celebration event was held at Ilam Homestead on 30 September, and was a great evening of awards, speeches, music and continued connections. The guest speaker was Sam Brosnahan, UCSA President 2019 and ELDP alumnus. 73 people attended the celebration.

3.10.3 ELDP Exec selection for 2019

There were 32 applicants for the ELDP exec team for 2019. 25 were shortlisted and interviewed via both individual and group interview processes. This is indicative of students' desire to continue involvement with ELDP and to give back to the programme.

Various collaborations have been explored to enhance ELDP in 2019. The programme aims to use more on-campus UC expertise and offerings within the programme and connect students to more opportunities through the University.

3.10.4 Go Canterbury Programme

There are 133 students in the Go Canterbury Programme, which indicated a 94% retention rate since the start of the year.

Term 4 of Go Canterbury comes under the heading of the UC Graduate Attribute 'Employable, Innovative, and Enterprising' and focuses on networking skills, getting set up for summer jobs and internships, and gaining experience organising events.

3.10.5 UniLife

The programme coordinator identified all UniLife students with a GPA lower than three (14 students). Of those, five students already had plans in place to manage their progress (e.g. registered with Disability Resource Service or had met with a College Advisor and changed their degree pathway). The other nine students were sent an individualised text and email. Students responded positively to this individualised attention and support (four of the nine students responded). At the end of September, UniLife had 72 students actively engaged in the programme.

3.10.6 MME Doctoral Academic Writing workshop series (pilot)

Eleven Marketing and Management PhD students, nine of whom were international (82%), participated in the September MME PhD Academic Writing workshop. Students nominated the seminar topics in-line with their writing priorities. This month the focus was supervisor feedback. The series, a collaboration involving the Academic Skills Centre, Student Experience Team, and the Department of Management, Marketing and Entrepreneurship, is intended to enhance the students' academic writing skillset, progress their thesis writing, and develop peer support capability.

3.10.7 Doctoral and Masters by Research Student Orientation

Thirteen new Doctoral students attended the tailored research orientation in September. Ten (77%) were international representing Brazil, Germany, Iran, Italy, South Korea, Nepal, China and the United States. The Colleges of Business and Law, Engineering, Science, and Education, Health and Human Development were represented at the rate of 1, 6, 4 and 2 students, respectively. All attendees rated the experience favourably, particularly regarding meeting the advisors and staff from the services, and hearing about the range of support at UC.

3.11 UC Sport and Recreation and Wellbeing

3.11.1 Participations

The RecCentre had 30,112 visitors through the turnstiles in September. Of this number, 24,176 were students and the remainder included staff, community and casual users. Total Membership grew by 228 with 249 new students registering this month, continuing the steady growth in use.

Membership Type	Headcount	Changes July – August	
	As at 30 September	Net change	% change
Total Other	594	↓21	↓3.41
Total UC Students	8059	↑249	↑3.19
Total Membership	8653	↑228	↑2.71

3.11.2 Programmes and Promotions

In 2018 we had 125 social sport teams and next year this is expected to grow to about 230, a potential increase of 1,000 participants across the year.

We are engaging with the UCSA and our affiliated Sports Clubs about what services we provide our clubs and how they will be delivered/managed in 2019. We traditionally provide Performance Analysis and Strength and Conditioning services (mixture of internships and staffing) and are looking to continue this next year but looking for growth in the internships model with the College of Education, Health and Human Development Sports Programme. Our planning will also consider how we could provide these services to a wider range of teams associated with UC.

3.11.3 Wellness Strategy

Following last month's Wellness Advisory Group, work has been completed by HR and SSAC staff around the delivery of Psychological First Aid training for staff to help them deal with students in distress. The aim of this training plan is to support staff and student retention through providing targeted training to all staff to improve their confidence and understanding of the resources, techniques and referral pathways. This work will be reviewed by the Wellness Advisory Group in late October with the plan ready to be implemented ahead of Semester 1 2019.

4. CONCENTRATE

Enhance research and creative work in chosen areas of endeavor; increasing efficiency, especially in the use of time in teaching and related activities per EFT; raising quality in teaching effectiveness and research outputs; and increasing focus and concentration of effort.

4.1 Deputy Vice-Chancellor

4.1.1 Academic Services Group (ASG)

Academic Services Group (ASG) continued work across a wide range of activities. Five academic and general staff attended a national symposium in Wellington for the Academic Quality Agency Audit Enhancement theme. The theme is part of a two-year work stream considering 'Access, outcomes and opportunity for Māori students and for Pasifika students'. The focus for the day was to bring together teams from all universities to share good practice, to constructively challenge current approaches, models and initiatives and to develop an agreed plan for action. The UC contingent presented on the Graduate Profile.

Course evaluation has begun for Semester 2, and whole year courses and teaching evaluation and tutor evaluation is under way. ASG assisted with the publication of the 2019 University Calendar. Peer review for other Universities Graduating Year Reviews was undertaken and peer review of Round 2 CUAP proposals completed. Planning was ongoing for managing the end of year review of academic progress. Summer courses opened for enrolments. Promotion began for the 2019 STAR programme for secondary schools. The Graduate Destination Survey closed and preliminary analysis has begun.

4.2 Research (R&I)

The Royal Society Te Apārangi released a discussion paper on the use of gene editing in the primary industries and a technical paper on gene editing in the primary industries, as part of their larger Gene Editing in Aotearoa project. These papers explore five scenarios where gene editing could be used in New Zealand's primary industries to:

- Reduce environmental impact (reduce wilding pines)
- Respond to insect pests and environmental stress (improve forage grass)
- Speed up innovation (develop new apple varieties faster)
- Protect taonga species used in the primary industries (protect Mānuka from disease)
- Provide new human health benefits (remove potential allergens from milk)

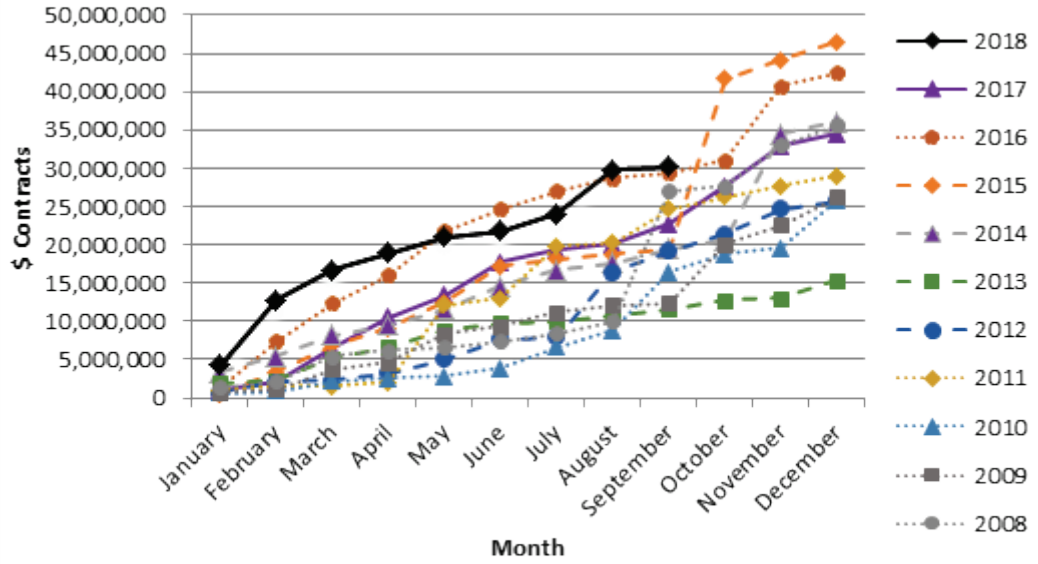
The RSNZ is seeking feedback on the issues raised in the discussion paper, available on the RSNZ website: https://royalsociety.org.nz/news/potential-uses-of-gene-editing-for-new-zealands-primary-industries/

The Innovation Jumpstart winners were announced at an awards event on 3 October. Innovation Jumpstart gives UC researchers from all disciplines the opportunity to transform their ideas and research into commercial reality. Five prizes of $20,000 were awarded by KiwiNet. In addition, two projects received $35,000 worth of practical services from technology incubators WNT Ventures and Astrolab.

The winners were:

- Dr Matthew Cowan (Chemical and Process Engineering) – Recovery of feedstock chemicals from dilute solution (WNT Ventures Prize)
- Associate Professor Renwick Dobson (Biomolecular Interactions Centre, School of Biological Sciences), doctoral candidate Michael Love and Dr Craig Billington (ESR) – Enzymes for controlling Gram-negative pathogenic microbes in food, medicine, and veterinary industries (Astrolab Prize)
- Dr Jennifer Crowther (Biomolecular Interactions Centre, School of Biological Sciences), Professor Mark Hampton (University of Otago), Dr Neil Pattinson (ChristchurchNZ), Associate Professor Renwick Dobson – New diagnostic test for life-threatening condition in pregnancy for mother and child
- Associate Professor Mathieu Sellier (Mechanical Engineering), Dr Volker Nock and Associate Professor Shayne Gooch – Innovative spin coating to create environmentally friendly materials
- Dr Aaron Marshall (Chemical and Process Engineering) – An eco-friendly solution to reuse acid waste from galvanising plants

R&I are managing 384 research contracts, worth a total value of $142.1m. In 2018 to date, 194 contracts worth a total value of $30.7m were executed, and 33 contracts worth at least $13m are pending (i.e. in the process of being executed). UC holds 76 National Science Challenges contracts worth $23.9m and 60 CoRE contracts worth $32m (with 0 NSC/CoRE contracts pending).



4.3 Research Development

Following Council's decision to approve the Kia Tōpū business case, two major project streams commenced around new teaching programme developments with the aim of developing proposals for CUAP approval in 2019, with the first new course being taught from 2020. In parallel, a project team began the process of establishing the new UC Kia Tōpū Research Centre, and developing strategic plans around the three themes of Food Innovation, Food Equity, and Food Intelligence. Discussions have begun with national and international partners that would be foundational partners in the centre.

UC is continuing to work with other New Zealand universities in the development of consortium proposals in the fields of data science, space science and technologies, and low-carbon energy systems that will be bid into various MBIE funding calls.

4.4 Research Reputation

The 2019 Times Higher Education subject rankings were released, with UC ranked highly in three subjects; Business and Economics ranked 151 – 175, Social Sciences ranked 201 – 250, and Education ranked 251 – 300.

Distinguished Professor Geoff Chase (Mechanical Engineering, College of Engineering) was awarded the 2018 Royal Society Te Apārangi MacDiarmid Medal. The MacDiarmid Medal is arguably one of the more prestigious of the society's awards and is awarded annually to a person (or team) in New Zealand, who has undertaken outstanding scientific research that demonstrates the potential for application to human benefit, such as in the areas of health, environment and technology. Professor Chase's work in combining innovative engineering computer models and methods with physiology and clinical medicine to create unique, virtual patients has enabled the rapid, safe optimisation and personalisation of drug treatment. In particular the use of designing and implementing the glycaemic control protocols is making positive differences in patient mortality and greater efficiency of hospital resources. Further, Professor Chase's research has also created novel model-based tools enabling far earlier diagnosis of type 2 diabetes, leading to novel new approaches to managing type 2 diabetes.

4.5 Postgraduate Research

Student numbers

- In September doctoral students totalled 1,055.
- There were a total 837 masters students doing their theses.
- 24 new doctoral students enrolled in September, bringing new enrolments to 169 for the year to date.
- In September, 11 doctoral students submitted, bringing the total to 123 for the year to date; and
- 9 successfully completed their thesis examinations, bringing the total to 100 this year, while a further 19 master's thesis students were examined, bringing the total to 185. No students failed.

Other activities

- The postgraduate deans travelled to China, 10-22 October, to participate in the annual China Scholarship Council (also called IGSF) Postgraduate Recruitment fairs. The team attended fairs in Beijing, Xi'an, Changsha and Shanghai, and although the focus was on doctoral students the team also talked to master's and undergraduate students.
- Undergraduate Summer Scholarships are being planned with 189 scholarship proposals received.
- Preparations for Spring Gradfest (29 October-2 November) were well under way with talks and workshops free for all postgraduate research students all week.

4.6 Timetabling

The 2019 Timetable was successfully published 9 October, consisting of about 105,000 hours of teaching scheduled on Ilam campus. This includes the College of Education, Health and Human Development teaching, which will move off the Dovedale campus and in to the new Rehua building.

Our close working relationship with the University's Space Manager and the Capital Works Project Managers kept us informed of the risks to the programme of works for the UCSA building, which enabled us to proactively develop contingencies.

The Timetabling unit enters a quiet time, where we will reflect on lessons learnt during the 2019 build and look at process improvements for the 2020 build.

4.7 Office of the AVC Maori

4.7.1 Graduate Pillar – BiCC

The next BiCC hui with Deans and PVCs will be held on 28 November, the final BiCC hui for 2018.

4.7.2 Te Tari o te Amokapua Māori

Dr Darryn Russell, Liz Brown and the Kaiārahi continued working to ensure the mahi towards the BiCC pillar of the UC Graduate Profile is completed for undergraduate programme delivery in 2020 for all of the agreed kaupapa and learning outcomes. Mahi has been achieved in curriculum development against BiCC, as part of the Graduate Profile, with much still to do. We acknowledge the significant work in colleges.

Noting we are in year one of implementation, some discussion is being held to look at providing feedback to the Academic Advisory Committee in 2019, compared to our original aspirations in this domain.

4.7.3 Kaiārahi

Kaiārahi are undertaking intensive planning for 2019 to best respond to and manage the demand from colleges and service units. The collaborative mahi carried out by the Kaiārahi is strongly valued and the range and depth of support and collaboration continues to grow.

Kaiārahi continued to be involved in teaching into a number of courses. Kaiārahi are frequently participating in interview panels, assessing mock lectures and reviewing potential new staff. This has been a significant activity over the last month and will continue in the near future. This is partly driven by normal change and growth, but also by the number of roles in the School of Product Design.

Te Ohu Reo are receiving requests for material which will be used in 2019 and 2020, and we appreciate having some lead time for these requests. A database of 1,200 terms developed by Te Ohu Reo has been added to one of our SharePoint sites and we aim to have a non-editable version available (probably via a web page), with a process for regular additions, in 2019.

4.7.4 Te Ratonga Ākonga Māori – Māori Student Development Team (MDT)

Te Wiki o te Reo Māori was celebrated nationwide in the week of 10-14 September 2018. A UC programme of events was held and this programme was created through a collaboration between Aotahi School of Māori and Indigenous Studies, UC Libraries, Te Akatoki Māori Students Association and Te Tari o te Amokapua Māori. As part of Te Wiki, UCSA cafes offered 50% discount on coffee ordered in te reo. This proved popular, with long queues outside cafes involved.

Te Ratonga Ākonga Māori continues to be busy, with many students needing support as final assignments came due and the start of exams approached. The team is looking at options for 2019 for additional mental health support for students. This project may develop into a wider collaboration with other student support teams.

The Celebration for Māori Graduates will be held 20 December in the Engineering Core.

4.7.5 Māori Recruitment and Outreach

Te Pōkai Ao is a Ngāi Tahu-led pilot programme for Year 10 Ngai Tahu students interested in science. Ākonga participating in this programme are from all around Aotearoa, with 22 students involved. Part of this Ngāi Tahu and UC collaboration also involves the University of Hawai'i, Manoa (UHM), and Assistant Professor Kiana Frank of UHM. The Ngāi Tahu students spent seven days in Hawai'i with Assistant Professor Frank, learning about indigenous science through studying traditional fisheries and forestry management. This was followed by a three-day wānanga at Tuahiwi, where UC engagement took place. The learning outcomes of this programme are related to NCEA science topics at their school. This programme is part of a strategic plan to ensure these students' continued STEM development to Year 13 and beyond. The aim is to increase Ngāi Tahu science graduate numbers.

Te Ara Raukura took place in September for students who will be Year 13 in 2019, and who need to more thoroughly consider their pathways for tertiary study. This programme was hosted at Linwood College, with 70 participants. This is a developmental programme for Year 12 students to assist in repairing the negative effects of the Christchurch earthquakes on their educational success. UC is a programme partner as part of outreach activities for rangatahi in eastern Christchurch high schools. Other recruitment and outreach activities for September involved reporting on this year's activities, planning and preparation for 2019.

4.7.6 Māori Research

The next Māori Research hui will be on 8 November. The MAI ki Aronui conference takes place 9-11 November in Auckland and three PhD ākonga Māori from UC will present their research at this conference.

5. CONNECT

5.1 Communications

Engagement Data – September 2018	
Intercom	Open rate 40.33 average % (International benchmark = 21.8%) *Themes measured*: the top 10 viewed blogs had these themes • Diversity (2) • Staff achievement/story • Governance/VC/SMT (2) • Learning or Professional Development • Academic/Research • Tech Tip • UC News/Announcements • Notices
Insider's Guide (student newsletter)	Open rate average 51.97% (International benchmark = 21.8%) *Themes measured*: the top 10 viewed blogs had these themes • Staff achievement/story (2) • Student achievement/story • Notices (3) • Postgraduate • Health and fitness • Wellbeing and student support • UCSA and clubs
Twitter	(Measured against all universities in New Zealand and Ara) **Fifth** for *Engagement Fan Ratio*

	Third equal for follower growth rate Total followers: **6,607** (88 new followers in September). Same time last year: 5,538 followers.
Stakeholder Newsletter	**Stakeholder Update Newsletter – September** 1,152 Recipients Open rate 45.9% industry average 16.9% (List ave: 42.6%) Click rate 8.7% industry average 2.2% (List ave: 5.8%)

5.2 Communications

The campus map update is under way. Base map updates will be complete before holiday shutdown.

As part of the Cyber Security project, communications to staff and students were included in blogs/newsletters advising that Phishing testing would be taking place before the end of year. No feedback has been received concerning the testing.

We are working with ITS on the UC phone app project outlining key milestones for February delivery and are working with Wellness Services and the UCSA to identify relevant content for student voice start-of-year publications.

Other projects included: collateral and presentation about space science, engineering and technology for the IAC conference in Germany and a brochure for philanthropic bondholders

5.3 External Relations

5.3.1 Media

September media coverage of UC-related topics was again overwhelmingly positive. In September, we handled more than 60 media queries on a wide range of topics, including the Rec Centre dress code, Nicky Hager speaking on campus, Lincoln University MOU, seeking comment on stabbing death on Ilam Rd (non-UC), pitching kakī as Bird of the Year, seeking a maths/stats expert on odds of 40 people winning Lotto 1st division, mental health, halls, and parking, among other topics.

Other media coverage of UC-related topics and experts included: UC building technology innovation, UC research on NZ maple syrup industry feasibility, MBC's new artist in residence Tanu Gago, the price of lost perspectives in NZ history, Anne-Marie Brady, Greg Newbold, Annick Masselot, and UC Council member Rosemary Banks.

An analysis of coverage in September 2018 (Broadcast, Internet, Print) found 779 items (560 items in same period last year). This coverage reached a cumulative audience of 13,450,130 and had an advertising space rate of $1,899,091.

5.3.2 External Engagement

There were two September UC Connect public lectures; *Law without lawyers* was popular, based upon UC Law Professor John Hopkins' published work, as was *New Zealand's place in a changing world*, in which Deputy Secretary of Foreign Affairs and Trade Ben King discussed the current environment for international relations. Videos of UC Connect public lectures are available to view on the UC Connect YouTube channel. There are two more 2018 UC Connect lectures in October, with planning for 2019's public lecture series under way.

5.3.3 Stakeholder Relations

The final Community Meeting for 2018 was on 10 October. The next will be in February 2019.

5.4 Canterbury University Press

Rising from the Rubble: A health system's extraordinary response to the Canterbury earthquakes by Michael Ardagh and Joanne Deely was completed and printing is under way. A launch is being planned in association with the Canterbury District Health Board for late November.

Arthur Prior – A 'Young Progressive': Letters to Ursula Bethell and to Hugh Teague 1936–1941 Edited by Mike Grimshaw was completed and uploaded to the printer.

Living Among the Northland Māori: Diary of Father Antoine Garin, 1844 –1846 Translated and edited by Peter Tremewan and Giselle Larcombe has progressed to the indexing stage.

Editing continues on *From Gondwana to Ice Age: The geology of New Zealand over the last 100 million years* by Malcolm Laird and John Bradshaw

CUP is to publish the New Zealand edition of *When Running Made History* by Roger Robinson, originally published by Syracuse University Press. As an avid runner, journalist, and fan, Robinson documents the ways in which running has intersected with recent history. Pre-press work has begun, with a launch planned for February 2019.

5.5 Awards, media/reviews, and stakeholder engagement

Bonsai: Best small stories from Aotearoa New Zealand was launched by Morrin Rout at the WORD Christchurch festival on 2 September. *Bonsai* co-editor Michelle Elvy also held reading events to promote the book in Wellington, Auckland and Whangarei. *Bonsai* co-editor Frankie McMillan was interviewed on RNZ's Standing Room Only programme. Catherine Knight, author of *Beyond Manapouri: 50 years of environmental politics in New Zealand* (CUP, 2018), was invited to speak at two events, one hosted by Lincoln University at their seminar series and one by the Fabian Society. Catherine Knight's opinion piece derived from her findings in *Beyond Manapouri* was published in *The Press*. *Beyond Manapouri* was shortlisted for the 2018 Heritage Book Awards and Writing Competition. *The Long Dream of Waking: New perspectives on Len Lye* and *New China Eyewitness: Roger Duff, Rewi Alley and the art of museum diplomacy* (both CUP, 2017) were featured in *New Zealand Books Quarterly* Spring Issue. Paintings by Niuean born artist and writer John Puhiatau Pule, author of *The Bond of Time: An epic love poem* (CUP, 2014), are featured in the Royal Academy of Arts *Oceania* exhibition which runs 29 September-10 December, and *The Bond of Time* is being stocked by the exhibition bookshop.

5.6 Events and Partnerships

Events and Partnerships activity slowed as we head into the end of 2018. Ekea! Year 10 Pathways for Māori students and the Chancellor's Dinner will be held in November and the final recruitment event for 2018, UC Bound, will be held in early December.

The 2019 UC Events calendar is confirmed and planning has begun for Orientation Day, Careers Fairs, Open Day, Auckland Women in Leadership breakfast and an Auckland Careers Advisors Update Day. UC's partnerships will continue with the Crusaders and the Student Volunteer Army in 2019.

The UC Connect public lecture series concluded in October. The series attracted a total audience of around 2,500 (similar to 2017). The UC Connect public lecture series offers the community the opportunity to attend topical, interesting, educational lectures on a range of topics given by experts in their fields.

6. Alumni and UC Foundation

	Income	Distribution
2018 Target	$10.5m	$6.5m
2018 Year to Date	$6.7m	$5.5m
2018 Year to Date	681 donors	1,075 gifts

6.1 Alumni and Foundation

6.2 UCFA (US)

We held a teleconference with UCFA in September which included the acceptance of 2017 accounts. The Vice-Chancellor met with 27 alumni and donors in Seattle, LA and San Francisco to thank donors and cultivate additional gifts.

6.3 UK Trust

The UK annual appeal was mailed to UK alumni.

6.4 UCF

The Annual Appeal continued to receive donations, particularly from lapsed donors. The outbound calling campaign has not recruited sufficient interest from students to take place. This may be due to timing and will be reviewed.

6.5 Stewardship

A Scholarship Morning Tea event for November is being planned as well as the schedule for 2019.

6.6 Alumni

The Mt John Alumni trip in September had excellent weather for viewing the stars and was a great success. Our thanks go to the staff and volunteers of the Astronomy department who assisted with this. *Chronicle* was mailed to alumni, schools, staff and students.

The Alumni campaign proved engaging with alumni who have contacted us with their own stories. News has been sent to our 64,000 alumni. We are continuing to work with Engineering on a series of reunions and working with group of senior business alumni in Auckland on a series of alumni events for late 2018 and 2019 to encourage engagement in Auckland and generate leads for interns, guest speakers, mentors and sponsors for student challenges.

6.7 150th Anniversary of UC

Key stakeholder meetings are arranged for October/November. Draft materials for Endowed Research Fund are being developed with Communications.

7. ENABLERS

Efficient, effective and sustainable use of the human, physical and financial resources available to the University

7.1 Infrastructure

Full details of works are contained in the Appendix.

7.2 Staff Matters

7.2.1 People matters

Negotiations with the TEU are ongoing. The Academic Promotions Round for 2018 is under way and the GSRR review commenced.

7.2.2 Health, Safety and Wellbeing

A workshop on 15 November involving staff from schools in Arts, Engineering and Science will consider how hazardous substances can best be delivered, handled and stored in order to comply with the updated Hazardous Substances and New Organisms regulations.

Staff and their spouses and partners are invited to a series of short talks about Financial Wellbeing in the afternoon of 20 November in the Engineering Core. Topics include wills, health insurance, income protection, planning for retirement, Kiwisaver and financial resilience. More details can be found in the news section of the HR Intranet.

8. Financial Outcomes: (Management Accounts to 30 September 2018)

September 2018	Actual Year to Date $000	Budget Year to Date $000	Budget Variance Year to Date $000 Fav/(Unfav)*	Budget Full Year $000	Forecast Full Year $000	Full Year Forecast to Budget Variance $000 Fav/(Unfav)*
Total Operating Income	279,058	268,281	*10,777*	358,865	379,775	*20,910*
Total Operating Expenditure	279,913	276,037	*(3,876)*	366,752	372,786	*(6,034)*
Net Surplus/(Deficit)	**(855)**	**(7,756)**	***6,901***	**(7,887)**	**6,989**	***14,876***
Net Surplus/(Deficit) as a % of Total Operating Income	-0.3%	(2.9%)		(2.2%)	1.8%	
Capital Expenditure	**48,814**	**104,104**	***55,290***	**129,576**	**89,576**	***40,000***
Cash/ Short Term Investments/ Short Term Government Stock	**274,157**	**213,745**	***60,412***	**165,286**	**283,509**	***118,223***
Working Capital	**189,574**	**113,126**	***76,448***	**55,730**	**170,100**	***114,370***

* A variance enclosed in brackets indicates an UNFAVOURABLE financial variance e.g. income is less than budgeted income OR expenditure is greater than budgeted expenditure.

Actual Total Operating Income is favourable to budget as at September 2018. This is due mainly to favourable variances to budget in research income excluding PBRF, sundry income, tuition fees, and interest income. This has been partially offset with unfavourable variances in other Government grants. Actual Total Operating Expenditure is unfavourable to budget. This unfavourable variance relates to total personnel expenses and total operating expenses. These unfavourable variances have been partially offset with favourable variances in depreciation.

We had been budgeting for an operating deficit as at the end of September 2018 of ($7.756) million, but have returned an operating deficit of ($0.855) million. This is a favourable variance to budget of $6.901 million.

Capital expenditure is $55.290 million below budget. $17.882 million of the expenditure incurred to date is UC Futures related (CETF, RRSIC, and Rehua) against a year to date budget of $46.999 million. The remaining capital spend (excluding UC Futures), against budget, is favourable by $26.173 million. Significant amounts are subject to 'Final Account' discussions with contractors.

The full year forecast operating surplus of $6.989 million includes $4 million of insurance settlement funds from EQC which have yet to be confirmed. Year to date actuals and full year forecast suggest UC is operating at around break even.

8.1 Cash Flow

The September 2018 cash position of $274.157 million is higher than budget by $60.412 million due largely to higher than expected balances at 31 December 2017, lower operating spend, and failure to meet budgeted capital expenditure expectations. We are holding adequate short term cash reserves to meet expected capital costs for all mainstream projects.

The forecast cash position includes the final $50 million receivable from the Government under the Funding Agreement, received in October.

TEC, who must approve all borrowing under the Education Act 1989, have provided a borrowing consent, of which a key condition is that once UC is required to borrow more than $65 million an independent advisor will be appointed who will advise on the financial risk to the Crown and assist the UC Council in managing financial risk.

There are no specific additional MOE covenants, but the Funding Agreement with the Government sets out certain financial targets to be reported to the Governance Oversight Group (GOG) appointed under the Funding Agreement. The University's achievement for 2017 and forecasts for 2018 are within the ranges set.

8.2 Working Capital

Working capital[1] of $189.574 million at 30 September 2018 is $76.448 million more than budget, mostly due to the higher cash balance explained above.

9. COLLEGE SUMMARIES

9.1 College of Arts (Te Rāngai Toi Tangata)

The College is decanting from one of its three main buildings, James Logie, from the start of November, in preparation for remediation. This is a significant milestone for us in upgrading our facilities post-quake, which until now has been confined to the top three floors of Karl Popper. Completion of Logie is due in mid-2019, at which point remediation will begin on Elsie Locke. The College Office will remain based on L4 of Karl Popper until the remediation of Locke is complete.

[1] assets due to become cash or be consumed within 12 months less liabilities due to be paid in cash within 12 months

The College has begun developing proposals to modify its Master of Arts degree to allow for direct entry from the BA into a taught, 180-point version of the degree. This is in part a response to falling enrolments in Honours programmes, but also represents an opportunity to improve and update the degree so it is better placed to meet student needs, including options for research at doctoral level.

Recent scholarly, cultural and outreach activities in the College include talks or seminars on #MeToo (Rosie Overell – Otago), 'Homeric Echoes in a WW1 Diary' (Gary Morrison – Classics), Moral Disagreement (Stephen Stitch – Rutgers), an open studio exhibition in the School of Fine Arts, a performance of Stravinsky's *A Soldier's Tale* by the School of Music, and our co-hosting of the Latin America & Spanish Film Festival. For details of all events and activities please see our regular newsletter, Arts Update, available at the following link: http://www.canterbury.ac.nz/arts/arts-news/archive/arts-update/.

9.2 College of Business and Law (Te Rāngai Umanga me Te Ture)

Business School colleagues are finalising the Self-Assessment Report (SAR) in support of our application for EFMD-EQUIS accreditation. This 150-page report evaluates the School's current performance and future plans across governance and strategy, faculty, research, students, academic programmes, finance, internationalisation, corporate connectedness, ethics and sustainability. The accreditation review team will visit UC next year, 27-29 February. Assuming our application is successful, UC will become the fourth NZ Business School (with Auckland, VUW and Waikato universities) to have the 'triple crown' accreditation (AMBA, AACSB-International, EFMD-EQUIS), an important international quality benchmark.

Law School staff attended the Te Putairiki 25 years celebration dinner on Saturday 6 October. It was a fabulous night of kapa haka, mihi, merrymaking and speeches including by Professor Ursula Cheer and Supreme Court Judge Sir William Young. Singing 'My Bonnie Lies over the Ocean' using the Māori alphabet was a highlight, as was the speech by former Dean, Richard Scragg, who then faced down a mighty haka in his honour. It was great to catch up with Te Putairiki alumni from as far back as 1996.

The first three-day UCE Impact Summit was a huge success. The first two days consisted of the 'Social Enterprise Challenge' in partnership with the Christchurch City Council. 50 students from around the country competed and the judges were so impressed that the top teams have been asked to present their ideas to Councillors later in the year. The following day was the 'Day One Summit' which saw 240+ attendees from around the country come to campus to engage with each other and an impressive group of speakers and workshop facilitators. Speakers included Commonwealth Young Person of the Year Usman Iftikhar and New Zealand's youngest MP, Chlöe Swarbrick. Day One has been pencilled to run again on 21 September 2019.

Congratulations to Dr Christian Riffel, UC Law School, who has been officially invested as Honorary Consul of Germany for the South Island. Congratulations also to the following colleagues, who were recognised in this year's UCSA Awards: Heather Couch (LAWS), administrator of the year; Simon Dorset (LAWS) superstar of the year; Philip Gunby (ECON), Lecturer Most Able To Sympathise With Utterly Lost Students While Somehow Continuing To Baffle And Confuse Them With Basic Algebra Award; and Steve Agnew (ECON), recipient of three awards, Lecturer of the Year, Great Character of the year, and Best Technology Tantrum Award.

9.3 College of Engineering (Te Rāngai Pūkaha)

We are moving ahead with our bids to the TEC for new senior academics to come to UC, funded under the TEC's new Entrepreneurial Universities (EU) scheme. We have interviewed some very interesting global candidates, and staff in the HITLab are preparing their final case to the TEC where they are asked to approve these particular individuals as qualifying under the requirements of the new scheme (i.e. they have a proven history of being entrepreneurial). We are also actively recruiting, led by CSSE, for the other EU programme we have had approved in principle by the TEC.

Three staff attended a St John Mental Health First Aid Course in October to assess its content with a view to encouraging others in the College to attend if it is appropriate. The aim is to have a critical mass of trained mental health first aiders in the College as part of our ongoing Mental Health and Wellbeing in the Workplace project

All 60 students who were offered a place at our residential week for female school students in Year 12, who are interested in engineering, called WiE CAN 2019, have accepted the offer. We had over 250 applicants and it was very difficult deciding who should attend. We have plans to continue to engage with the 200 or so students who were unsuccessful.

Planning for our first-year mentoring programme, ENG ME! 2019, has started. The main aim for the following year is to move from an academic-led programme to a student-led programme. More students, whether from the advisory board, student societies or previous mentors, were involved in advertising the role and recruiting the mentors.

Finally, as PVC, I would like to acknowledge the many people involved in getting material ready for accreditation, meeting panels, and those that will be involved in future work based on feedback. It's a huge undertaking, and one we know we have to commit to, but I am aware that it is an extra project to be done by people who are already very busy. A highlight in the verbal feedback from the panel was the strong emphasis on the pride that students, alumni and industry clearly demonstrated in being taught by us or connected with us.

9.4 College of Education, Health and Human Development (Te Rāngai Ako me Te Hauora)

No update provided.

9.5 College of Science (Te Rāngai Pūtaiao)

Nothing to report this month

10. Conclusion:

I am into my final 100 days as Vice-Chancellor, a position I feel privileged to have held for nearly a decade. Sustaining momentum and maintaining the trajectory of our four transformation projects – the Graduate Profile, the Student First Programme, the built environment, IT infrastructure and pedagogy investments, and Organisational Culture Development remains my focus, along with promoting the Kia Tōpū strategy and exploring the potential for a partnership with Lincoln University. Our incoming Vice-Chancellor, Professor Cheryl de La Rey, has advised she will join us in early 4 February 2019. All Colleges and Service Groups have completed Operational Plans for the coming year which inform the 2019 Budget, which will be the subject of a Council workshop in October, review by Finance, Planning and Resources Committee of Council and Council approval in November.

11. Appendix 1: Building Update

Overall

- **Ernest Rutherford** A programme over the summer break to close out larger defects by Fletchers (includes laminate panels and floor repairs) is in planning stage.
- **CETF** outstanding works and defect rectification is progressively being delivered by the UC Project Team. Full and final settlement with the receiver has been reached.
- **Rehua** approaches completion but Hawkins are continuing to experience programme slippage with the UC Project and Consultant Teams providing as much support as possible to assist in coordination and mitigation strategies to protect occupation date of the building by the first week of December.
- **UCSA Building** has experienced some delivery challenges and a reset programme is targeting practical completion in July 2019. Glazing has been installed, roofing and cladding works continue.
- Work is continuing safely on all sites with no major injuries again reported for the last period.

Campus Construction Safety Group

All site teams continue to demonstrate good H&S practice and respond well to internal and independent H&S Auditing practices. The Round Table initiative to collectively undertake one construction H&S review prior to each meeting is being received well by the group with all major construction sites having now been visited during 2018. During the final quarter of the year a major incident exercise will be undertaken with all contractors to review and measure how each react and understand UC policy/requirements in such circumstances.

Current Building Status – Key Progress this Month:

Rutherford Regional Science and Innovation Centre (RRSIC)

RRSIC Stage 1 – Ernest Rutherford Building

Fletchers continued to make good progress in undertaking defect rectification and finishing incomplete works. A work schedule for any remaining outstanding works has been requested from Fletchers to be undertaken during the summer break where the remaining defects should mostly be completed with least impact on UC business continuity. These works will include re-installation of laminate panels and timber tabletops and the repair of the Atrium floor. Establishment of research continues to be phased into the building, with focus currently on completing design of the Cryogenics and completing the PC2 spaces on levels 4 and 5 being fit for purpose.

RRSIC Stage 2 – Beatrice Tinsley Building

Subsequent to the façade passing the factory tests, building consent has now been issued by the Council. Work is progressing on readying the building for the façade, and temporary weather proofing to enable internal partitions to be installed is underway.

Canterbury Engineering the Future (CETF)

A full and final settlement has now been reached with the Receiver. UC will continue to progress the completion of the project directly with sub-contractors. The main focus through October is continuing to implement this work in consultation with the College to minimise disruption and to target their operational priorities. Some difficulties have been experienced with a major subcontractor in meeting their contractual commitment and is being escalated at the Project Executive level. Commissioning of the Fire Lab is under way.

Relocation of the College of Education Health and Human Development and part of the College of Business & Law – Rehua (NEB)

Subcontractor resource levels at the end September were averaging 100 workers onsite per day. The level of workers is reducing as major work areas are completed.

Despite submitted programmes from Hawkins suggesting early completion, it is now planned that operational occupation via a Certificate of Public Use will take place by 12 November in preparation for teaching in mid-January 2019. New FF&E installation will commence 12 November and Dovedale decant will commence 4 November. A blessing ceremony is planned for 6 December.

Scaffolding has been removed from the building exterior except for minor works in progress on Gridline E above the Atrium. The external facade is a diminishing quality risk and the consultants are aligned with Hawkins about the requirements for Consultant PS4 signoff. UC appointed an independent QA consultant to work in the Hawkins site office to ensure that there are no surprises in the final weeks leading up to CPU in mid-November. Façade defects are reducing at an acceptable rate.

Basement external waterproofing works have commenced. Scope and quality of intumescent (fire retarding) paint finishes has been an ongoing major issue, however, remedial work to close out this issue is finally nearing completion. Fitout on Levels 2-7 is largely complete except for isolated minor works and defecting. Level 0-1 works are progressing well. Café consent documents are being progressed.

Other Buildings/ Projects

UCSA

PCG endorsed the reset programme developed by the Project Team and the revised Practical Completion date is 9 July 2019. As part of the reset programme exercise a financial risk assessment established that additional funding will be required to complete the project. A paper is being prepared to be submitted for review and approval by Council.

Onsite, superstructure works are almost complete with only some minor secondary structural steel members remaining. The external envelope continues to progress with roof works and cladding continuing and nearing completion. Civil works are ongoing and works will soon commence on clearance of the wider site in preparation for above-ground civil works.

Logie and Locke refurbishment

Work by the programming consultant and quantity surveyor has been undertaken to confirm the construction programme and associated costs. The option to carry out the work in two phases, building by building, Logie followed by Locke, is agreed and the College has made arrangements to vacate the Logie building by early November.

The works are out to market, with five preferred contractors invited to tender. The site will be available to the successful tenderer from late November 2018. The forecast completion date for the entire project is February 2020.

School of Product Design space for growth

The business case to increase facilities for the School of Product Design was approved, the appointment of a design team and contractor are in progress with works planned to take place over the summer break, and facilities ready for use in Semester 1 2019.

Connon Hall Seismic Strengthening

The design team have undertaken the detailed design for the Connon Hall strengthening works in the 2018/2019 summer break. Specialist concrete contractors familiar with the required strengthening works have been identified and references sought for the purpose of being named within tender documentation, which will be released in October 2018.

Warehouse Lecture Theatre and Sports Lab Project

Works to the K1 Lecture Theatre and sports facilities are complete. Design is under way to create a safe pedestrian route to the new facility from Ilam across University Drive, with works to be completed over the summer break.

Garden Hall – Hall of Residence

Preliminary design has been completed, and the implementation business case is being developed for submission to Council in November. The fixed price lump sum offer is targeted for 19 November and will be evaluated once received to ensure it is compliant with all UC requirements. Once the FPLS is received the contract will be issued to Campus Living Villages under the ROFO with 30 working days for them to respond. On that basis the actual execution of the design and build contract is not expected until late January 2019. Initial pile testing is being undertaken onsite to de-risk the design and hopefully enable a reduced substructure price. Design works are under way to develop a master plan for Homestead Lane with the intention that a section of this revised road design, with a specific focus on safety, shared use and access, is delivered with the new facility.

Communication Disorders relocation

The project is delayed as the specialist acoustic booths delivery has been impacted by the recent typhoon in the Pacific, final completion due in late January 2019. Decant planning will start over the coming months to align with the summer break.

Projects in planning this month include:

- College of Business and Law growth/accommodation planning.
- Recreation Centre Business Case

11.1 Appendix 2: Upcoming Events Calendar

Event calendar: www.canterbury.ac.nz/events

Date	Event name	Key goal
Wednesday 7 November	Ekea! Year 10 UC Pathways for Māori	Recruit
Wednesday 7 November	Canterbury Club Speaker Series: Peter Field	Engage
Wednesday 7 and Thursday 8 November	MARS Spectral CT Workshop	Conference
Thursday 8 and Friday 9 November	South Island Social Science Postgraduate Symposium	Conference
Friday 9 November	Chancellor's Dinner	Engage
Friday 30 November	Careers Advisors and International Directors Breakfast	Recruit
Tuesday 27 November	JSCE-NZ Joint Symposium on Earthquake and Geotechnical Engineering: toward next generation of ISO23469	Conference
Wednesday 28 - Friday 30 November	Talk Teaching 2018	Conference
Thursday 29 and Friday 30 November	Learning Legacies Symposium	Conference
Wednesday 5 December	UC Bound | Terea tō waka Christchurch	Recruit
5 - 7 December	2018 Biennial Conference of the Development Studies Network of Aotearoa New Zealand (DEVNET)	Conference
Wednesday 12 December	Graduation: College of Education, Health, and Human Development	Engage
Wednesday 19 December	Graduation: Colleges of Engineering and Arts	Engage
Wednesday 19 December	Graduation: College of Business and Law	Engage
Friday 21 December	Graduation: College of Science	Engage
Friday 21 December	Graduation: College of Education, Health, and Human Development	Engage

11.2 Appendix 3: VC Activities

Past	
25 September 2018	• Met with Guangdong University
26 September 2018	• Spoke at UCSA Forum
27 September 2018	• Spoke at Deloitte CEO Forum over Breakfast – launch of their Human Capital Trends Report
28 September 2018	• Spoke at 2018 Staff of the Year Awards
3 October 2018	• Met with Megan Woods on campus prior UC Pols Lecture • Spoke at Innovation Jumpstart 2018 Awards
4 October 2018	• Spoke at Entre Event
5 October 2018	• Met with Sir Bob Parker on campus • Spoke at Supreme Club Awards Evening
10 October 2018	• Spoke at Community Meeting
11 October 2018	• Attended a Universities NZ meeting in Wellington for all VCs of NZ universities
26 October 2018	• Attended Institute of Directors Duncan Cotterill breakfast • Hosted UCSA Exec Dinner
Future	
1 November 2018	• Attending Friends of UCSA end of year Function
9 November 2018	• Attending 2018 Chancellor's Dinner
13 November 2018	• Attending GRI Board Meeting
23 November 2018	• Chairing UNZ Committee on International Programmes

11.3 Appendix 4: Enrolment Table

	Headcount						EFTS						
	Applications to Enrol						Full Year Enrolled						
	ATE Enrolment Week: 3 (13/10/2018)						Actual	Actual	Actual	Actual	Actual	Forecast (as at September)	Budget
	2014	2015	2016	2017	2018	2019	2013	2014	2015	2016	2017	2018	2018
Domestic 1st Year	986	1,448	2,431	2,683	2,402	3,080	2,886	2,922	2,974	3,254	3,262		
Returning	849	747	773	963	920	1,279	8,495	8,245	8,079	8,104	8,409		
Total	1,835	2,195	3,204	3,646	3,322	4,359	11,381	11,167	11,053	11,358	11,671	12,362	12,277
International 1st Year	1,289	1,583	1,784	2,230	2,178	2,875	304	336	445	607	744		
Returning	67	37	37	56	60	69	495	439	434	527	674		
Total	1,356	1,620	1,821	2,286	2,238	2,944	799	775	878	1,134	1,418	1,719	1,529
							-	-	-	-	-	-	
Total	**3,191**	**3,815**	**5,025**	**5,932**	**5,560**	**7,303**	**12,180**	**11,943**	**11,931**	**12,492**	**13,089**	**14,081**	**13,805**

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Report to the Council from a meeting of the Audit and Risk Committee held on Monday 15 October 2018

The Committee recommends:

1. Health and Safety Report

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

2. External Audit Programme

   That: ***Council note the Audit Plan to 31 December 2018.***

3. Service Performance Reporting

   That: ***Council approve the early adoption of PBE FRS – 48 Service Performance Reporting.***

4. UC Policy: Treasury Management Framework

   That: ***Council adopt the Treasury Management Framework Policy.***

Peter Ballantyne
Chair
Audit and Risk Committee

23 October 2018

Audit and Risk Report

To:	UC Council
From:	Steve Hunter - Health and Safety Manager
Date:	October 2018 (Y18)
Subject	Health, Safety and Wellbeing at UC

Introduction

The intent of this October Y18 report is to provide assurance to Council that satisfactory arrangements are in place for managing Health, Safety and Wellbeing risks across the University of Canterbury.

Summary

Since the August Audit and Risk report, statistics show we are tracking positively with health and safety incidents/events. There are no notable unmitigated risks or issues to report to Council.

The Health and Safety team's primary focus lies with significant risks which, although not numerically significant, represent the greatest risk to the university. We continuously review risk assessments and procedures to ensure UC meets all legislative requirements in order to reduce the risk of injury and/or harm.

Health and Safety statistics for this report are similar to the August report due to the short time frame between meetings. Statistics will be updated again for the March Y19 report.

Report

Content:

1. Legislative Updates
2. Audits including external systems
3. Health and Safety Team Update
4. Health Safety and Wellbeing Priorities
5. Health Monitoring
6. Training
7. Governance Tracking and Reporting
8. Construction/Refurbishment Contractors Update

1. Legislative Updates

- Health and Safety at Work (Hazardous Substances) regulations removed previous exemptions applied to tertiary education establishments. The Health and Safety Team along with relevant managers are reviewing systems and training for staff accordingly – see 3. below;

- The WorkSafe NZ website now includes a Live Noise Toolbox and an online SafePlus Auditing Tool in order to assist with compliance.

Information only:

Recent WorkSafe Legislative Actions: 28 September 2018

Machine guarding failures in the meat processing industry are continuing to cause life-changing injuries to workers.

Alliance Group Limited appeared in the Timaru District Court on Wednesday, after an incident where an inexperienced worker's hand was amputated in a piece of machinery in March 2017. The worker had been employed at the plant for only five days and was left unsupervised on a task. Due to the worker's lack of familiarity with the job, he opened a section of the machinery used for dehydrating blood into a powder and placed his right hand inside. His hand came in contact with a rotating screw and was amputated.

WorkSafe investigation found that the Alliance Group had failed to ensure the health and safety of its workers and that it was reasonably practicable for them to have undertaken an adequate risk assessment of the machine and to have ensured it was adequately guarded.
A fine of $332,000 was imposed.

The Alliance Group Limited was sentenced under sections 36(1)(a), 48(1) and (2)(c) of the Health and Safety at Work Act 2015.

Being a PCBU, it failed to ensure, so far as was reasonably practicable, the health and safety of workers who worked for the PCBU, while the workers were at work in the business or undertaking.

The maximum penalty is a fine not exceeding $1,500,000.

2. Audits/Assessments

The first audits/assessments utilising the WorkSafe SafePlus model have taken place through the following areas:

- Psychology
- Geography
- Engineering Services
- Library
- Capital Works

Summary results along with any comments will be available for the next Audit and Risk report. **Note:** SafePlus replaces previous ACC Workplace Safety Manangement Practices (WSMP) assessments with more emphasis placed on responsibilities and engagement of leaders.

Machinery audits have been completed for the Forestry and Psychology schools.

3. Health and Safety Team Update

Following our external health and safety systems audit (attached to August report) all corrective actions are now collated into a Master Progress Report in order to facilitate a cohesive approach towards addressing the recommended actions.

Paul O'Flaherty is leading a small Hazardous Substances and New Organisms group comprising me and appropriate departmental line personnel. The purpose of this is to produce a structured and prioritised plan for complying with the new regulations.

The group will also plan how we accept, store and deliver hazardous substances throughout the University.

As advised in our last report, the Health and Safety team are in regular contact with their counterparts at other Universities, all of whom are prioritising their responses to the requirements of the 2015 Act. These comparisons indicate that UC is tracking very well, inclduing the work on hazardous substance compliance procedures.

4. Health Safety and Wellbeing Priorities

Meetings between the new UC Director of Wellness and myself are underway, along with a small group, in order to discuss where wellbeing and wellness overlap and how we can achieve harmony between the two. Findings will be conveyed back via the new UC Wellbeing Action Group (WAG) for further discussion. This group contains a range of UC staff – either experts or interested parties – who are advising the Director of Wellness as he coordinates the development and implementation of a UC Wellbeing strategy for students and staff.

5. Health Monitoring Statistics update

Type of Test	Reason	#Staff Y17	# Staff Y18
Spirometry Testing/Audiometry	Staff exposed to hazardous dusts/fumes and Staff exposed to excess noise	140	174
Skin Checks	Staff exposed to UV	52	89

6. Training

The following training has commenced. This is in addition to that outlined in the August Report:

- Certified Handlers Training (Replaces Approved Handler, Hazardous Substances)
- Health Safety Representative Training (HSR)

7. Governance Tracking and Reporting

The positive observations of the effectiveness of UC Health and Safety Governance and supporting management systems are in line with the August Audit and Risk Report.

8. Contractor Update and Statistics

The Health and Safety team continue to co-ordinate external audits of major UC construction sites. Grant Craig, Senior Health and Safety Consultant, continues to actively engage with construction projects on a regular basis by, for example, attending toolbox talks, site visits with UC Project Managers. Please see the following updates covering the period from the August Report:

- CETF: Civil and Mechanical Wings. Now handed over to the University for teaching and research. Deferred works are underway under Capital Works' control and will take approximately 3 months to complete. There have been no issues with the health and saferty implications of this work;

- Rehua: Nearing completion with most work now happening on level 1, entry and basement. Althoiugh there are no outstanding issues, a certain level of risk remains. However, the project is easier to manage due to the construction area within the site reducing;

- Beatrice Tinsley: The site has been subject to multiple pro-active Health and Safety inspections and walk-arounds over the last three months. Dominion continue to place high priority on Health and Safety and continue a good interaction with UC. No outstanding issues.

- UCSA: This project is managed very well with no outstanding issues.

As we head into 2018/19, we will continue to have construction throughout campus. We acknowledge the ongoing risk that this poses to the University community. However, it is important to recognise the significant time and energy invested by the University to ensure the safety of staff and students during this time.

Memorandum | Pukapuka

Financial Services | Te Ratonga Ahumoni
Office: Room 609, Matariki
Extension: 93454
Email: keith.longden@canterbury.ac.nz

To:	Ki:	Council
From:	Nā:	Keith Longden
Date:	Rā:	23 October 2018
Subject:	Kaupapa:	**Draft Audit Plan 31 December 2018**
Purpose:	Aronga:	For noting

The external auditor, Audit New Zealand, is required to advise Council of its audit plan each year (previously this was called the "Audit Arrangements Letter"). In a departure from previous years, this letter is no longer required to be signed by the Chancellor on behalf of the University Council.

Audit New Zealand presented this draft audit plan to Audit and Risk Committee at their latest meeting, and no amendments were proposed. The final Audit Plan will be issued to the University subject to any amendments requested by Council.

The proposed draft audit plan for 31 December 2018 is attached. The main points are as follows:

Audit risks and issues

As in previous years, the audit will focus on the carrying value of our assets, capitalization of capital Work in Progress, and performance reporting. They will also review our response to the revised accounting standard on consolidation.

Personnel

No change in senior audit team personnel. Timing of interim and final visits have been agreed with Financial Services.

Fees (University only)

Fees are the subject of a separate letter setting out the fees for 2017, 2018 and 2019, which was approved by Council last year. These are as follows:

2016	$218,000
2017	$209,833
2018	$208,122

Recommendation:

That the attached draft external Audit Plan be noted by Council.

Ngā mihi,
Keith Longden
Executive Director/ Chief Financial Officer | Kaihautū Matua Ahumoni

AUDIT NEW ZEALAND
Mana Arotake Aotearoa

Audit plan

University of Canterbury and group

For the year ending 31 December 2018

Audit plan

I am pleased to present the arrangements for the audit of the University of Canterbury (the University or UC) and group for the year ending 31 December 2018. The purpose of this audit plan is to discuss:

Audit risks and issues **2**

Our audit process **7**

Reporting protocols **10**

Audit logistics **11**

The contents of this plan should provide a good basis for discussion when we meet with you.

We will be happy to elaborate further on the matters raised in this plan.

We are committed to delivering a high-quality audit. Our audit is risk based, which means that we focus on the areas that matter. Every member of the audit team will contribute to achieving the highest standard of professional excellence.

If there are additional matters that you think we should include, or any matters requiring clarification, please discuss these with me.

Yours sincerely

Andy Burns
Appointed Auditor
15 October 2018

DRAFT

Audit risks and issues

Focus areas

Based on the planning work and discussions that we have completed to date, this table sets out the main audit risks and issues.

Audit risk/issue	Our audit response
The University's forecast results for the 2018 year	
The University is forecasting a strong operating result for the year ending 31 December 2018. There are several drivers behind this, with one of the main factors being strong student enrolment numbers and the corresponding increase in tuition fees income. The majority of the increase in tuition fees over budget is generated from full fee paying students. Both domestic and international EFTS in 2018 are forecast to exceed the 2018 budgeted EFTS, reflecting the University's strategic investment in student recruitment and attractiveness of UC's programmes. There is interest also in the impact of the Government fees-free initiative. This growth in EFTS also positions the University well for when the Student Achievement Component (SAC) guarantee assistance ends at the end of 2018.	Through our audit work we will review the trends, and any one-off transactions, behind the increases in revenue reported by the University. This will include increases in tuition fees income, increases in research revenue, and contributions from UC Foundation and UC Trust Funds. We will also document and test the fees free subsidies as part of our review of the student management system and TEC funding system.
Fair value assessment of property, plant and equipment	
After a period of annual valuations of its land and building assets, the University, in 2017, reverted back to a periodic revaluation cycle for these asset classes. Other classes of property, plant and equipment assets had remained on a cyclical valuation basis, with infrastructure assets being revalued in 2017. For these asset classes outside of their revaluation cycle, the University will need to assess the fair value of these assets to determine whether there is a significant difference between their carrying amounts and their fair values. If this assessment identifies that there is a material difference in the	We will review the robustness of the University's assessment of whether there is any significant difference between the carrying amount and fair value of those asset classes that are not being revalued in 2018. We encourage management to perform this assessment early so that if a revaluation is required, there is time to complete it without it impacting on the annual report process.

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Audit risk/issue	Our audit response
carrying values of these asset classes, a revaluation is required. This is required under accounting standards to demonstrate there has been no significant movement in the fair value of UC's assets.	
Valuation of property, plant and equipment	
From our audit planning discussions with management, we understand that the University's medal collection is the only asset class being revalued in 2018. This is intended to be a desktop valuation exercise. The medals collection is not a material asset class in terms of the value of the University's overall property, plant and equipment assets.	We will review the valuation of the University's medal collection, noting that the collection is not a significant asset class in terms of its carrying value. Our main focus will be on the valuation approach, the movement in the collection's value and the associated disclosures of the valuation within the annual report.
Other asset related accounting issues	
The University continues to have a significant ongoing capital programme. Some of the large UC Futures projects have been completed while others that are in progress, such as Rehua, while experiencing delays, are forecast to be completed by the end of the year. Other projects in progress include the UCSA building, Locke and Logie and the UC Wellness Precinct. Projects that are in progress require assumptions and judgements to be made that can have a significant effect on the financial statements, including: • the capitalising of costs as work in progress, or expensing of these; and • the date of capitalising the asset, transferring from work in progress to asset additions and commencement of depreciation of the asset. In addition, when completing large projects, the final account negotiations and resolution of issues such as contractor performance, can result in additional expenses and/or revenue being recognised after the date of the assets being in use. We will enquire with management as to the existence of any of these situations. Other asset related transactions during the year could include sales of assets, decisions to	We will obtain an understanding of the status of all significant capital projects at balance date. Our audit work will review the capitalisation dates of completed projects and the accounting treatment of projects that are accounted for as work in progress at balance date. We will make enquiries of management of the existence of any residual costs and/or receipts by the University in relation to final contract negotiations and the accounting for these. We will review other asset related transactions or decisions, such as asset sales (for example properties being sold to Fire and Emergency New Zealand), future demolition or transfer of assets, and the accounting treatment for costs relating to preparing business cases, if applicable (for example the Recreation Centre).

DRAFT

Audit risk/issue	Our audit response
demolish or sell assets in the future, or costs incurred to prepare business cases for future capital projects.	
Performance reporting	
There has been a requirement in place for several years for the forecast SSPs of TEIs to comply with GAAP. It is only recently, however, that a similar requirement for the performance reporting in the Statements of Service Performance (SSPs) in TEIs' annual reports has been enacted, with effect from 2019. The relevant standard under GAAP is IPSAS 1 *Presentation of Financial Statements*, paragraphs 150.1 to 150.10. The absence of any legislative requirement for the SSPs to comply with GAAP means that we have generally used our report to the University Council to raise any issues with the performance reporting, rather than considering any impact on the audit opinion. While the new requirement will not apply for your 2018 reporting, it is important that you are well positioned to meet it in 2019.	This year, we will pay particular attention to your compliance with the relevant requirements of IPSAS 1 so that we can signal early to you any potentially issues with your reporting in 2019. As part of this, we will discuss with you the requirements for the costs of outputs to be disclosed (IPSAS 1, paragraph 150.4), including how many outputs you have and the possibility of early adopting the new accounting standard PBE FRS 48 *Service Performance Reporting*, that stops short of a mandatory requirement on output cost disclosure. We will also continue to focus on whether your performance reporting presents fairly, in all material respects, your performance. As well as auditing your performance against the outcomes stated in your forecast SSP, we will consider whether there needs to be any additional reporting to ensure that your reporting is appropriately covering all your significant activities.
Standards issued not yet effective	
The University has considered the impact of the accounting standard PBE IPSAS 35 – *Consolidated Financial Statements* that has been issued and becomes effective for reporting periods commencing on 1 January 2019. The relevance of this standard to the University is the potential requirement to consolidate the UC Foundation and UC Trust Fund entities within the University's group financial statements. Disclosure was made in the 2017 annual report of the potential impact of this standard on the University.	As disclosure of the impact of this standard will again be required in the 2018 annual report, we will review this as part of the audit. We will also enquire and assess any decision the University has made in relation to the adoption of this standard in preparation for when it becomes effective.

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Audit risk/issue	Our audit response
The risk of management override of internal controls	
There is an inherent risk, in every organisation, of fraud from management override of internal controls. Management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records and prepare fraudulent financial statements by override of controls that otherwise appear to be operate effectively. Auditing standards require us to treat this as a risk on every audit.	Our audit response to this risk includes: • testing the appropriateness of selected journal entries; • review of accounting estimates for indications of bias; and • evaluating any unusual or one-off transactions, including those with related parties.

Please tell us about any additional matters we should consider, or any specific risks that we have not covered. Additional risks may also emerge during the audit. These risks will be factored into our audit response and our reporting to you.

Fraud risk

Misstatements in the financial statements, and performance information, can arise from either fraud or error. The distinguishing factor between fraud and error is whether the underlying action is intentional or unintentional. In considering fraud risk, two types of intentional misstatements are relevant – misstatements resulting from fraudulent reporting, and misstatements resulting from misappropriation of assets.

The primary responsibility for the prevention and detection of fraud and error rests with the University Council (the Council), with assistance from management. We will discuss the following questions with you:

- What role does the Council play in relation to fraud? How do you monitor management's exercise of its responsibilities?
- Has a robust fraud risk assessment been completed? If so, is the Council satisfied that it had appropriate input into this process?
- How does management provide assurance that appropriate internal controls, to address fraud risks, are in place and operating?
- What protocols/procedures have been established, between the Council and management, to keep you informed of instances of fraud, either actual, suspected, or alleged?
- Are you aware of any actual, suspected, or alleged fraud? If so, have the results of management's investigation been reported to the Council? Has appropriate action been taken on any lessons learned?

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Our responsibility

Our responsibility is to obtain reasonable, but not absolute, assurance that the financial statements and performance information are free from material misstatement resulting from fraud. Our approach to obtain this assurance is to:

- identify fraud risk factors and evaluate areas of potential risk of material misstatement;
- evaluate the effectiveness of internal controls to mitigate the risks;
- perform substantive audit procedures; and
- remain alert for indications of potential fraud in evaluating audit evidence.

The Auditor-General has published useful information on fraud that can be found at oag.govt.nz/reports/fraud-reports.

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Our audit process

Initial planning

Initial planning activities include verification of compliance with independence requirements and building the audit team.

Understand your business and environment

We use our extensive sector and business knowledge to ensure we have a broad and deep understanding of you, your business, and the environment you operate in.

Assess audit risk

We use our knowledge of the business, the sector and the environment to identify and assess the risks that could lead to a material misstatement in the financial statements, and performance information.

Evaluate internal controls (interim audit)

During the audit, we update our understanding of internal control. This includes review of the control environment, risk assessment processes, and relevant aspects of information systems controls.

Finalise the audit approach

We use the results, of the internal control evaluation, to determine the extent to which we can rely on the information produced from your systems during our final audit.

Gather audit evidence (final audit)

During the final audit we will audit the balances, disclosures, and other information included in the University and group's financial statements and performance information.

Conclude and report

We will issue our audit report on the financial statements and performance information. We will also report to the University Council on any relevant matters that come to our attention.

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Materiality

In performing our audit, we apply the concept of materiality. In the public sector, materiality refers to something that if omitted, misstated, or obscured could reasonably be expected to:

- influence readers' overall understanding of the financial statements and performance information; and
- influence readers in making decisions on the stewardship and allocation of resources, or assessment of your performance.

This definition of materiality is broader than the one used in the private sector.

Accounting standards also require the University Council and management to consider materiality in preparation of the financial statements. IFRS Practice Statement 2, *Making Materiality Judgements*, provides guidance as to how to make materiality judgements from a financial statements preparer's perspective.

Whether information is material is a matter of judgement. We consider the nature and size of each item judged in the surrounding circumstances. The nature or size of the item, or a combination of both, could be the determining factor. Materiality will be lower for some items due to their sensitivity.

Misstatements

Misstatements are differences in, or omissions of, amounts and disclosures that may affect a reader's overall understanding of your financial statements and performance information. During the audit, we will provide details of any such misstatements we identify, to an appropriate level of management.

We will ask for each misstatement to be corrected, other than those that are clearly trivial. Where management does not wish to correct a misstatement, we will seek written representations from representatives of the University Council that specify the reasons why the corrections will not be made.

Professional judgement and professional scepticism

Many of the issues that arise in an audit, particularly those involving valuations or assumptions about the future, involve estimates. Estimates are inevitably based on imperfect knowledge or dependent on future events. Many financial statement items involve subjective decisions or a degree of uncertainty. There is an inherent level of uncertainty which cannot be eliminated. These are areas where we must use our experience and skill to reach an opinion on the financial statements and performance information.

The term "opinion" reflects that professional judgement is involved. Our audit report is not a guarantee but rather reflects our professional judgement based on work performed in accordance with established standards.

Auditing standards require us to maintain professional scepticism throughout the audit. Professional scepticism is an attitude that includes a questioning mind and a critical assessment of audit evidence. Professional scepticism is fundamentally a mind-set. A sceptical mind-set drives us to adopt a questioning approach when considering information and in forming conclusions.

Exercising professional scepticism means that we will not accept everything we are told at face value. We will ask you and management to provide evidence to support what you tell us. We will also challenge your judgements and assumptions and weigh them against alternative possibilities.

How we consider compliance with laws and regulations

As part of the Auditor-General's mandate, we consider compliance with laws and regulations that directly affect your financial statements or general accountability. Our audit does not cover all of your requirements to comply with laws and regulations.

Our approach involves first assessment of the systems and procedures that you have in place to monitor and manage compliance with laws and regulations relevant to the audit. We may also complete our own checklists. In addition, we will ask you about any non-compliance with laws and regulations that you are aware of. We will evaluate the effect of any non-compliance on our audit.

Wider public sector considerations

A public sector audit also examines whether:

- the University carries out its activities effectively and efficiently;
- waste is occurring or likely to occur as a result of any act or failure to act by the University;
- there is any sign or appearance of a lack of probity as a result of any act or omission by the University or by one or more of its Council members, office holders, or employees; and
- there is any sign or appearance of a lack of financial prudence as a result of any act or omission by University or by one of more of its Council members, office holders, or employees.

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Reporting protocols

Communication with management and the University Council

We will meet with management and the University Council during the audit. We will maintain ongoing, proactive discussion of issues as and when they arise to ensure there are “no surprises”.

Reports to the University Council

We will provide a draft of all reports to management for discussion/clearance purposes. In the interests of timely reporting, we ask management to provide its comments on the draft within 10 working days. Once management comments are received, we will final the report and provide it to the University Council.

We will also follow up on your progress in responding to our previous recommendations.

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Audit logistics

Our team

Our senior audit team members are:

Andy Burns	Appointed Auditor
Stephen Lucy	Engagement Quality Control Director
Andrew Timlin	Audit Manager
Ben Wright	Assistant Manager
Alan Clifford	Information systems auditor

Our engagement team is selected to ensure that we have the right subject matter expertise and sector knowledge. Each member of the audit team has received tailored training to develop their expertise.

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Timetable

Our proposed timetable is:

12 November 2018	First interim audit
14 December 2018	Draft interim report issued
16 January 2019	Final audit begins
21 January 2019	Draft financial statements available for audit (including notes to the financial statements) with actual year-end figures
4 February 2019	Audit and Risk Committee meeting
11 February 2019	Final financial statements and statement of service performance available for audit
11 February 2019	Final annual report available for audit
18 February 2019	Audit and Risk Committee meeting
18 February 2019	Verbal audit clearance given
27 February 2019	University Council meeting to adopt annual report
27 February 2019	Audit opinion issued
27 February 2019	Draft of the final report to governors issued

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Expectations

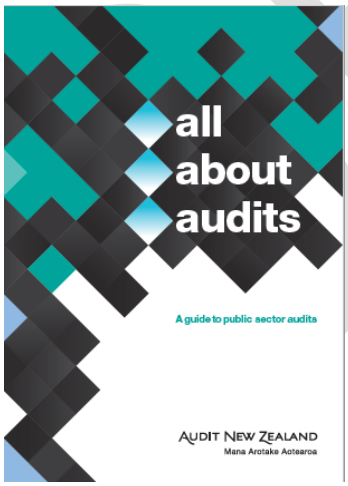
For the audit process to go smoothly for both you and us, there are expectations that each of us need to meet.

Our respective responsibilities are set out in our audit engagement letter dated 11 October 2016.

We expect that:

- you will provide us with access to all relevant records and provide information in a timely manner;
- staff will provide an appropriate level of assistance;
- the draft financial statements, including all relevant disclosures, will be available in accordance with the agreed timetable;
- management will make available a detailed workpaper file supporting the information in the financial statements; and
- the annual report, especially the financial statements will be subjected to appropriate levels of quality review before being provided to us.

To help you prepare for the audit, we will liaise with management and provide them with a detailed list of the information we will need for the audit. We have also published information to explain what to expect from your audit:



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Health and safety

The Auditor-General and Audit New Zealand take seriously their responsibilities to provide a safe working environment for audit staff.

Under the Health and Safety at Work Act 2015, we need to make arrangements with management to keep our audit staff safe while they are working at your premises.

We expect you to provide a work environment for our audit staff that minimises or, where possible, eliminates risks to their health and safety. This includes provision of adequate lighting and ventilation, suitable desks and chairs, and safety equipment where required.

We also expect management to provide our audit staff with all information or training necessary to protect them from any risks they may be exposed to at your premises. This includes advising them of emergency evacuation procedures and how to report any health and safety issues.

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AUDIT NEW ZEALAND
Mana Arotake Aotearoa

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PO Box 2, Christchurch 8140, New Zealand
www.auditnz.govt.nz

Memorandum

Registrar's Office
Office: Level 5, Matariki
Extension: 94511
Email: Bruce.white@canterbury.ac.nz

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

To:	UC Council
From:	Bruce White
CC:	
Date:	23 October 2018
Subject:	Service Performance Reporting
Purpose:	For approval

In the draft external Audit Plan provided to the Council, Audit NZ have stated (under the heading Performance Reporting) that:

This year, we will pay particular attention to your compliance with the relevant requirements of IPSAS 1 so that we can signal early to you any potentially issues with your reporting in 2019. As part of this, we will discuss with you the requirements for the costs of outputs to be disclosed (IPSAS 1, paragraph 150.4), including how many outputs you have and the possibility of early adopting the new accounting standard PBE FRS 48 Service Performance Reporting, that stops short of a mandatory requirement on output cost disclosure.

IPSAS 1- Presentation of Financial Statements will come into effect in 2019 and requires organisations to present the costs associated with the delivery of outputs. The effort and probable cost of producing such data for little or no apparent value to the University makes this option unattractive.

The alternative action is to adopt PBE FRS 48 - Service Performance Reporting. Early adoption of this standard would mean that the University would mean that the University would not be required to present the cost of producing outputs. The schedule prepared by Financial Services, outlining the implications for the University, is attached.

Recommendation:

The University Council approves the early adoption of PBE FRS - 48 Service Performance Reporting.

Bruce White
Acting Registrar

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
1	**The objective of this Standard is to establish principles and requirements for an entity to present service performance information that is useful for accountability and decision-making purposes in a general purpose financial report.**	-	UC is accountable to TEC under Education Act 2018, which places some small but not total reliance on the performance story we generate in preparing the Annual Report. The question is: who are UC accountable to in making its SSP public? There is no legal imperative for anyone except TEC and the Minister.
2	Service performance information is information about what the entity has done during the reporting period in working towards its broader aims and objectives, together with supporting contextual information.	The broad texture of UC's SSP is one that identifies its inputs and outputs as part of the wider 'Outcomes for New Zealand', reports its performance against statutory targets in the Investment Plan (EPIs) and provides a narrative of the context for those results that touch on the wider contribution made by UC through its student and community engagement, teaching and research.	-
3	**This Standard applies to:** **(a) All Tier 1 and Tier 2 not-for-profit public benefit entities; and** **(b) Tier 1 and Tier 2 public sector public benefit entities required by legislation to provide information in respect of service performance in accordance with generally accepted accounting practice (GAAP). If an entity is required by legislation to report service performance information on only some of its activities, this Standard applies only to those activities.**	UC is a Tier 1 entity and prepares a SSP. We are only required by the Education Act 1989 to report on service performance information in relation to our EPIs, as agreed through the Investment Plan process, also under the Act.	**In reality, we could stop here – the standard appears to follow current practice that we must follow legislation.** This does not resonate with AG6 (Revised), the Auditor-General's standard on public sector service performance story, which seeks to

Para	Text	UC compliance	Notes
			link directly financial and performance stories; wants a "warts and all" disclosure of the good and the bad; and which covers the entity's journey through the year compared with their plan. In this respect, we have not baulked at observations such as the lack of student accommodation and the impact on recruitment (see page 24 of 2017 Annual Report).
4	This Standard does not apply to service performance information that is condensed, prospective or summarised. PBE IAS 34 Interim Financial Reporting, and PBE FRS 43 Summary Financial Statements establish requirements for service performance information presented in general purpose financial reports that include interim financial statements and summary financial statements respectively. This Standard does not apply to other non-financial information presented in a general purpose financial report (for example, information about an entity's performance relating to its environmental goals or values), unless this information is directly linked to its service performance.	UC does not produce 'condensed, prospective or summarised' service performance information in a way that would attract GAAP compliance. Our interim financial statements are a NZX/FMA requirement, which does not include SSP, and we do not do summary financial statements for reporting purposes.	-
5	Nonetheless, application of the principles and requirements of this Standard to service performance information outside the scope of this Standard is encouraged to the extent applicable.	-	We note the encouragement. UC's SSP provides both context and stories to support EPI performance and which give insight into the wider UC story. Taken as a whole, the Annual Report provides much of not more than what is envisaged in this and other service performance reporting standards, including surveys of the

Para	Text	UC compliance	Notes
			year from the Chancellor and Vice-Chancellor, some link between operational and financial performance in the "At a Glance" disclosures; our engagement with the student body through the CSSL: our governance processes; and our equity and diversity statement. What the auditor would argue is that there is no single thread binding them all together, linking them for any reader of the AR. Is this any different from the deductions or impressions a reasonable person might make from reading the whole AR? Finally, is an Annual Report the place for recording data on which decisions are then made or on which our entity is held accountable?
6	**An entity shall present service performance information that is useful for accountability and decision-making purposes in the same general purpose financial report as its financial statements. Presentation of service performance information together with financial statements enables users to make assessments of the entity's performance.**	UC presents a SSP. The SSP includes the EPIs on which UC us held accountable to TEC under legislation.	Could one say the Annual report is useful for decision making purposes – it is historic information, not required to be published until the entity can achieve it "as soon as practicable after the end of each academic year" (section 220 (a) Education Act 1989. In practice, this means a delay to June – e.g. at Lincoln – is acceptable.

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
			One view might be that this does not make the information useful for decision-making purposes. TEC, our main user of information for accountability, does not make any decisions based on our Annual Report, save that the audit opinion, if qualified, is a concern to them.
7	**In selecting and presenting service performance information in a general purpose financial report an entity shall apply the qualitative characteristics of information and the pervasive constraints on information identified in the Public Benefit Entities' Conceptual Framework (PBE Conceptual Framework). Application of the qualitative characteristics and appropriate balancing of the constraints on information results in service performance information that is appropriate and meaningful to the users of general purpose financial reports.**	Current SSP provides wider UC contribution to NZ outcomes for sustainable development through its publication of EPIs (relevant, because linked to funding and TEC targets and as expected in our Investment Plan commitments); faithful representation (audited so proven); understandable (EPIs are clear, and text is signposted through headings to be supportive of results); timely (we publish within 60 days, and most within 90 days of year end); comparable (comparatives are included); verifiable (they are audited).	**Qualitative characteristics are:** Relevance Faithful representation Understandability Timeliness Comparability Verifiability **Constraints:** Materiality Cost-benefit Balance **A counter argument** is that the University could present more information beyond that which is required by legislation. However, it does NOT need to do that to comply with this standard (see section 3 (b) discussed above).
8-10	[This is a discussion of the application of the qualitative characteristics of information included in general purpose reports]	See above.	-

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
11	**Except as otherwise required by legislation, an entity shall present service performance information for the same reporting entity and reporting period as the financial statements.**	We present SSP information for UC with the annual financial statements.	-
12	The reporting entity and reporting period concepts are relevant for both financial statements and service performance reporting. This Standard discusses some additional factors that need to be considered when applying these concepts to service performance information.	-	**Noted.**
13	If the reporting entity is an economic entity comprising a controlling entity and controlled entities then service performance is reported in respect of that entire economic entity. If the reporting entity is a single entity, then service performance is reported in respect of that single entity. Where legislation or regulation requires service performance information to be prepared for a reporting entity that differs from the reporting entity for which historical general purpose financial statements are presented, an entity is compelled to comply with such legislation or regulation.	UC has no material controlled interests for which SSP information might be required. UC discloses all SSP information required by legislation.	-
14	This Standard establishes requirements for reporting on an entity's service performance for a reporting period. However, public benefit entities often have long-term service performance objectives. Judgement is required in deciding how much information to provide about the entity's service performance in the current reporting period and how much information to provide about progress towards its long-term objectives. In reporting on its current period's service performance an entity is likely to need to provide information that relates to previous periods or future periods (such as trend data) to provide context.	UC discloses a substantial comparative history for its EPIs, and writes a strong narrative of progress towards our longer term goals of the UC Graduate Profile (for example) and more under the broad, long-term objectives of Challenge, Concentrate and Connect.	The suggestion of 'trend data' and use of graphs may be useful to show long-term performance – e.g. as already done on the "At a Glance" pages.
15	**An entity's service performance information shall:** **(a) Provide users with sufficient contextual information to understand why the entity exists, what it intends to achieve in**	(a) This is included in the introduction to the SSP (e.g. pages 20 and 21 of the 2017 Annual Report.	-

Para	Text	UC compliance	Notes
	broad terms over the medium to long term, and how it goes about this; and **(b) Provide users with information about what the entity has done during the reporting period in working towards its broader aims and objectives, as described in (a) above.**	(b) See response to paragraph 14 above.	
16	Paragraph 15 establishes requirements about the service performance information to be reported. Presentation of service performance information is discussed in paragraphs 29 to 35.	-	Noted.
17	Paragraph 15(a) requires contextual information about why an entity exists, what it intends to achieve and how it goes about this. This information should be drawn from relevant documents such as founding documents, governance documents, accountability documents and planning documents. For example, a not-for-profit entity would consider documents such as its constitution, trust deed, mission statement (vision, purpose) and its most recent plans and strategies. If an entity uses a performance framework, theory of change or intervention logic at its highest level of management or in the governance of the entity, the contextual information should also draw upon that performance framework, theory of change or intervention logic. For example, a local authority's Long-Term Plan provides a meaningful performance framework for its activities.	See response to paragraph 15(a).	-
18	In providing the contextual information required by paragraph 15(a), an entity shall explain the main ways in which it carries out its service performance activities. For example: (a) Delivering goods and services directly to individuals, entities or groups (including members); (b) Working together with other entities that share common objectives; (c) Contracting with other entities to deliver goods and services on their behalf; or (d) Making grants to other individuals or entities.	The SSP discusses UC engagement with its main stakeholders/customers (students) in the narrative text. Wider co-operation is discussed under the graduate profile and in engagement with wider community and global groups under "Connect".	***Collaboration with others is reviewed under "research developments" – is this something we might want to expand?***

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
19	The nature of the information that an entity provides to meet the requirements of paragraph 15(b) will depend on the circumstances of the entity. An entity shall consider all of the following factors in deciding what to report. (a) What it is accountable/responsible for. (b) What it intended to achieve during the reporting period. (c) How it went about achieving its service performance objectives. (d) Other factors relevant to an understanding of its service performance during the period, such as the links between its financial statements and service performance information and/or external social, legal or economic factors (for example, changes in funding levels that affect its service performance).	(a) See paragraph 15 above. (b) As set out in Investment Plan and included in EPIs; also achievement against previously publish strategic goals such as UC Graduate profile. (c) Covered in the narrative provided. (d) We include discussion of the still-relevant 2011 EQ and developments in Government policy (Fees-Free) in 2017 SSP. We comment on increases in EFTS.	While (d) talks of considering other factors including links to the financial statements, there is no requirement to do so. In our view, there is but a tenuous direct link to be drawn between achievement of performance indicators as they are currently formulated and any expenditure. Other universities show a "cost of teaching" and "cost of research", but there is no disclosure about how they have gone about that, and is so high level as to be nearly meaningless when similar numbers could be derived simply from reading the financial statements (for what else does a University do but teach and do research, materially)? ***Do we want to "link", if only briefly, such comments as EFTS performance to the EFTS revenue?***
20	In reporting on what an entity has done during the reporting period an entity shall provide users with an appropriate and meaningful mix of performance measures and/or descriptions for the reporting period. The performance measures and/or descriptions used by an entity to communicate its service performance may be: (a) Quantitative measures: Examples of quantitative measures are the quantity of goods and services, the cost of goods and services, the time taken to provide goods and services, levels of satisfaction	(a) UC does use quantitative measures, especially in its EPIs, and includes discussion on EFTS performance. (b) EPI reporting addresses the measures against quality standards we have signed up to in the Investment Plan.	As in paragraph 19, there is no compulsion around the use of financial information in the SSP – we may use "cost of goods and services", but there is no requirement to do so. ***Should we have a qualitative measure for research performance (e.g. can we do a "completions"***

Para	Text	UC compliance	Notes
	using a rating scale on a questionnaire or survey, and numerical measures for service performance objectives or goals; (b) Qualitative measures: Examples of qualitative measures are descriptors such as compliance or non-compliance with a quality standard, ratings such as high, medium or low, or ratings assigned by experts; or (c) Qualitative descriptions: Examples of qualitative descriptions are those based on participant observations, open-ended questions on interviews and surveys and case studies. For example, how did an entity's service performance activities change the well-being and circumstances of a client group?	(c) Do we reference surveys in our SSP?	***percentage of research degree - gives a proxy for quality because externally moderated)?***
21	An entity shall exercise judgement to select an appropriate and meaningful mix of performance measures and/or descriptions so as to provide users of its general purpose financial report with sufficient, but not excessive, information about its service performance for the period. In determining the type and extent of information to provide, the entity considers a balance between providing: (a) Enough information to provide users with an overall picture of its service performance for the period; and (b) Not so much information that it could obscure the overall picture.	UC appears to have the right balance.	***May want to consider some trend data and graphs to break up the narrative, or survey results.***
22	In selecting the performance measures and/or descriptions to be reported an entity shall consider the qualitative characteristics and the pervasive constraints on information in general purpose financial reports. Judgement is needed to determine the most appropriate and meaningful performance measures and/or descriptions to be reported. The most appropriate and meaningful performance measures and/or descriptions are those that measure or describe aspects of performance that are of particular value or importance for accountability or decision-making purposes. The	Measures are driven by Investment Plan and legislation. SSP is of an appropriate length and very descriptive of activity.	-

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
	qualitative characteristics may also influence the data collection and compilation methods used by an entity.		
23	In general, performance measures and/or descriptions shall have an external focus. However, this does not preclude an entity from providing information on internal activities, processes, plans or policies if it considers that this information provides important context for its service performance.	SSP has both an internal focus on student achievement and an external focus on connections with community groups, the local and global economy and alumni.	-
24	Performance measures and/or descriptions may be used to inform assessments of efficiency and effectiveness or they may attempt to provide information directly on an entity's efficiency and effectiveness in relation to its service performance.	SSP has effectiveness measures.	Efficiency measures such as "bang for buck" are hard to quantify, although we disclose SSR on the "At a Glance", which is a proxy for that, as well as "cost per EFT Student".
25	Performance measures and/or descriptions may be used to inform assessments of the broad or longer-term effects of a project or an entity's work (also referred to as the difference the entity makes) on individuals who are direct recipients of a project or an entity's work, effects on those who are not direct recipients, or effects on society or subgroups of society. Examples of broad or longer-term effects include changes to these individuals' and groups' educational achievements or health, or changes to groups' or societal poverty or crime levels.	See paragraph 14 above.	***While any direct claim on improvements in (say) graduate employment statistics may be tenuous, would the disclosure of this and other, national statistics be appropriate as an indicator on what's going on in the wider world we are sending our students into?***
26	Performance measures and/or descriptions are more useful when they are accompanied by comparisons (for example, comparisons over time (trend data), comparisons by population or provider subgroups, international comparisons and comparisons against a target or standard).	SSP discloses substantial comparative data.	Trend data and graphs may assist, but not required.
27	If an entity determines that reporting on goods and services delivered provides appropriate and meaningful service performance information, performance measures and/or descriptions for goods and services may include: (a) The quantity of the goods and services; (b) The quality of the goods and services;	(a) We do not include much quantity data in the SSP, but there is EFTS and FTE data in the "At a Glance. (b) EPIs include completion rates as quality measure.	Once again, no requirement to include cost data. ***Do we simply need to include "At a Glance in the SSP? May need some brief narrative to point the reader***

Para	Text	UC compliance	Notes
	(c) The timeframe over which the goods and services were produced; (d) The physical location where the goods and services were delivered; and (e) The cost of the goods and services (see paragraph 28).	(c) Not really applicable – most people know how long UG and PF study takes. UC Graduate profile is discussed in terms of a longer-lived strategy. (d) Not relevant (yet). (e) See "At a Glance" comments above.	***in the right direction, but not onerous.***
28	In reporting on the cost of goods and services there are some important considerations. Financial statements and service performance information are both important components of a public benefit entity's general purpose financial report. **The service performance information needs to be linked to the financial statements to convey a coherent picture about the performance of an entity. This link is generally made, where practicable and appropriate, by reporting on the cost of goods and services.** An entity reporting on the cost of goods and services shall provide a reconciliation between the expenses in the financial statements and the total goods and services costs reported in the service performance information and, where appropriate, an acknowledgement of the use of donated goods or services which have not been recognised in the financial statements (PBE IPSAS 23 Revenue from Non-Exchange Transactions establishes requirements for the recognition of donated goods and services in the financial statements). In some cases, for example where an entity relies heavily on donated goods and services, information on how donated resources have contributed to the entity's service performance may be more useful than cost information in providing an overall picture of the entity's performance.	- [The last couple of sentences on donated goods simply do not apply to UC].	I note both the encouragement and exhortation to include "cost statements" and the recognition it might not be practicable or appropriate. Our argument is rooted firmly in the latter view. We do not, as result, consider the picture to be incoherent, since our costs structures are fairly simple.
29	**An entity shall clearly identify the service performance information presented in accordance with this Standard.**	UC does this.	-

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
30	An entity may find it helpful to present the information required by this Standard as answers to questions such as Who are we? Why do we exist?, What did we do? and How did we perform?	UC has developed its own presentation format.	-
31	This Standard does not prescribe the format of service performance information. Entities develop a format that best meets the information needs of their users. Information may, for example, be presented in the form of graphs, tables, narrative, infographics, explanatory comments in 'pop-up' boxes or similar.	UC uses some tables and narrative text, with one schematic for input-outcome flow description.	-
32	An entity may cross-reference the service performance information and the financial statements so that users can assess the service performance information within the context of the financial statements.	We do not have any financial information in our SSP.	Note again this is 'may', not 'must'.
33	In presenting service performance information in accordance with this Standard an entity may incorporate, by cross-reference, information outside the general purpose financial report. The use of cross-referencing is permitted subject to the following requirements. (a) It is still possible to identify the complete set of service performance information presented in accordance with this Standard. (b) Locating the information elsewhere enhances the understandability of the general purpose financial report as a whole and the service performance information remains understandable and fairly presented. (c) The cross-referenced information is available to users of the service performance information on the same terms as the general purpose financial report and at the same time.	We present some performance information in the "At a Glance" disclosures, but do not cross refer (because it is not needed in the narrative).	-
34	Incorporating service performance information by cross-reference enhances the understandability of the service performance information if it: (a) Links related information together so that the relationships between items of information are clear; and/or	-	Noted.

Para	Text	UC compliance	Notes
	(b) Reduces duplication of information.		
35	If an entity applies cross-referencing in accordance with paragraph 33, it shall: (a) Disclose, together with the statement of compliance in accordance with paragraph 28 of PBE IPSAS 1 Presentation of Financial Reports, a list of cross-referenced information that forms part of a complete set of service performance information in accordance with this Standard; (b) Depict cross-referenced information as being information prepared in accordance with this Standard (and audited if applicable); (c) Make the cross-referencing direct and precise as to what it relates to; and (d) Ensure cross-referenced information remains unchanged and available over time at the cross-referenced location.	-	Noted.
36	Service performance information should provide users with a basis and context to compare an entity's service performance over time, and where appropriate, against planned performance or the performance of other entities. Consistency of reporting aids comparability and this Standard establishes requirements for consistent reporting. However, an entity's service performance activities and performance measures and/or descriptions may change over time. This Standard requires that an entity provide information about those changes.	UC SSP provides substantial depth of comparatives for its EPIs, both prior years and budget/targets.	-
37	**An entity shall report comparative information in respect of the preceding period. An entity may also be required by legislation, or may elect, to report comparative information in respect of previously published prospective service performance information. An entity shall report comparative information for all amounts reported in the current period and, where relevant, for the narrative and descriptive information reported in the current period. Explanations for major variances shall be given.**	Comparatives are disclosed. Where appropriate, a narrative may continue a story begun in the prior year and give further particulars, referencing back to previous performance.	-

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
38	Comparative information shall be included for those performance measures and/or descriptions for which an amount is reported in the current period. Comparative information shall be included for narrative and descriptive information when it is relevant to an understanding of the current period's service performance information. Judgement is required in deciding when to provide comparative narrative and descriptive information.	Comparatives are provided.	-
39	An entity reporting against previously published prospective service performance information shall consider whether original levels of planned activity or revised plans provide the most relevant and useful information. Information about revisions to plans during the period may help explain variances between original plans and actual results.	This information is included in the narratives where appropriate.	-
40	**An entity shall report service performance information consistently. If an entity changes what it reports or how it reports its service performance information, it shall explain the nature of those changes and their effect on the current period's service performance information.**	UC has maintained a fairly similar presentation in recent years, all the while adapting the tables to meet Investment Plan changes, and including new material as strategic objectives have developed (e.g. UC Graduate Profile).	-
41	There are a number of reasons why an entity might change what it reports or how it reports its service performance information. Possible reasons include changes in: (a) The nature of the entity's activities from the prior period or from what was planned; (b) The descriptions of goods and services or the way in which they are aggregated; (c) The performance measures and/or descriptions used; and (d) The costing policies.	-	Noted. If we introduce any "cost" data we may have to write a couple of sentences about it.
42	Changes to comparative information are permitted, but not required. If an entity chooses to restate comparatives it discloses the effect of the changes on that comparative information.	-	Noted.

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
43	An entity shall correct material prior period errors, in the first service performance information authorised for issue after the discovery of the errors, by restating the comparative information for any prior period(s) presented in which the error occurred and disclosing an explanation of the error. If the error relates solely to narrative information, an explanation of the error shall be disclosed.	-	Noted.
44	**An entity shall disclose those judgements that have the most significant effect on the selection, measurement, aggregation and presentation of service performance information reported in accordance with this Standard that are relevant to an understanding of the entity's service performance information.**	We do not disclose separately judgements or estimates.	***This may need to be done if adopting this standard. First thoughts are for:*** • ***Use of latest estimates for EFTS data for the current year.*** • ***Selection of activities disclosed in the narrative are subjective but which management believe represent the University's 'story' best for relevance etc (the qualitative characteristics).*** • ***Selection of tables are directed by Investment Plan – UC cannot exercise any judgement.*** • ***Management does not believe cost information can be accurately prepared to support or explain EPI performance.***

Para	Text	UC compliance	Notes
			• ***Management believe the "At a Glance" provides suitable linking of financial performance and relevant and reliable student and staff data, focusing on student engagement and key financial statistics relevant to cost of operations and research, revenue, and investment in students and the University complex (or similar words).***
45	In applying the principles in this Standard an entity will need to make a number of judgements, such as those discussed in paragraphs 19, 21 and 22. These judgements reflect the entity's consideration of its specific facts and circumstances, including the information needs of its primary users. An entity therefore needs to identify those judgements that have the most significant effect on the selection, measurement, aggregation and presentation of service performance information and consider their relevance to a user's understanding of the entity's service performance information.	-	***UC does not provide disclosure of judgements as yet.***
46	In deciding what judgements to disclose in accordance with paragraph 44, an entity considers: (a) The extent to which the entity's service performance information is consistent with and clearly linked to the entity's overall purpose and strategies. If it is not, users may need to understand why not. (b) The extent to which the entity's service performance information reported is consistent with that used by the entity for		***Additional judgements to add to paragraph 44:*** • ***EPIs part of internal reporting to Council*** • ***SSR reported to management and Council.***

Para	Text	UC compliance	Notes
	internal decision making. If it is not, users may need to understand why not. (c) How much discretion the entity has over the selection, measurement aggregation and presentation of service performance information. The more discretion the entity has over what it reports, the more users are likely to be interested in the entity's judgements. In situations where there is significant judgement involved, such disclosures shall include the key factors (see paragraph 19) that formed the basis of those judgements. In some cases an entity's service performance information might be largely determined by external requirements or agreements with external parties. In other cases an entity's service performance information may be largely determined internally, or it may be based upon a combination of internal determinations and external contractual determinations or frameworks. In all cases, information about the level of discretion that an entity has, and the judgements it has made, would be relevant to users seeking to understand the entity's service performance information. (d) The extent to which the application of the qualitative characteristics and pervasive constraints on information (see paragraph 10) has influenced its service performance information. (e) The extent to which consultation with users influenced the reporting of service performance information. (f) The judgements made in deciding when to provide comparative narrative and descriptive information. (g) The judgements made about methods used in the selection, measurement, aggregation and presentation of performance measures and/or descriptions.		• ***Academic achievement reported to Academic Board and Council.*** • ***Spell out link of SSP to UC strategy in words of one syllable.*** • ***Consultation with users?***
47	An entity may cross-reference to other documents such as statements of intent or performance frameworks in disclosing information about judgements.	-	N/A

PBE FRS 48 Service Performance Reporting
Comparison with current UC practice

Para	Text	UC compliance	Notes
48	A public benefit entity shall apply this Standard for annual financial reports covering periods beginning on or after 1 January 2021. Earlier application is permitted.	-	Early adoption being considered.
PBE IPSAS 1 Presentation of Financial Statements **If UC does not early adopt PBE FRS 48 we will have to comply with PBE IPSAS 1 (change to Education Act 1989 to require performance reporting to comply with GAAP)**			
150.4	The elements of service performance are inputs, outputs and outcomes. Where relevant and appropriate for users of the entity's financial report, each output disclosed in the statement of service performance is to be described in terms of the output's: (a) Quantity; (b) Quality; (c) Time; and (d) Location. The cost of each output is to be described and disclosed.	We currently describe our outputs as: Student achievement Contribution to society Research Outputs And more generally "a university where research, teaching and learning take place in ways that are inspirational and innovative". We provide no costings. All costing must be shown to reconcile back to the income statement.	If we do not adopt PBE FRS 48 we will have to comply with this standard. Other universities cost "research", "teaching" and (some) "community engagement". Note this is MANDATORY in PBE IPSAS 1.

Memorandum | Pukapuka

Financial Services | Te Ratonga Ahumoni
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Email: keith.longden@canterbury.ac.nz

To:	Ki:	Council
From:	Nā:	Keith Longden
Date:	Rā:	16 October 2018
Subject:	Kaupapa:	**Treasury Management Framework**
Purpose:	Aronga:	Recommend Chancellor approve on behalf of Council

The Treasury Management Framework is a key University policy approved by the University Council Chair.

As with other polices, this falls to be reviewed on a regular basis. The proposed changes are cosmetic, moving some of the information into a more logical position and to meet policy design standards.

Following review at the Audit and Risk Committee meeting in October, the following text was inserted to clarify the relationship of the framework to UC Foundation and UC Trust funds, who have their own treasury management documents:

"The TMF is designed to address the University's treasury activity and responsibilities under existing legislation applying to the University. It does not include in its scope the treasury management framework for the controlled entities UC Foundation (UCF) and UC Trust Funds (UCTF). UCF and UCTF are not governed by the same legislative framework as the University. Both the UCF and UCTF have their own, individual separate Statements of Investment Principles and Objectives that fulfil the treasury management policy function."

There are no other substantive changes in policy, limits or delegations.

The 'track changes' copy of the policy is attached.

Recommendation:

The revised Treasury Management Framework be adopted by Council and that the Chancellor, as policy Approval Authority, approves the changes on behalf of Council.

Ngā mihi,

Keith Longden
Executive Director/ Chief Financial Officer | Kaihautū Matua Ahumoni

UCPL-4-262

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Treasury Management Framework

Last Modified	~~April 2017~~September 2018
Review Date	July~~May~~ 2020~~18~~
Approval Authority	Chair, University Council
Contact Officer	Chief Financial Officer – Financial Services

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1. Introduction

To promote prudent, effective and efficient financial management, a number of basic principles need to be followed. These principles are contained in a number of related documents.

These documents are

- ~~A~~A long-term financial strategy (the University's 10 year planning model)~~.~~
- ~~S~~strategic and operational plans, and
- ~~T~~the Treasury Management Framework ('TMF').

These documents are underpinned by specific policies and procedures in relation to financial transactions (see *Related Documents and Information*).

Field Code Changed

2. Definitions

Tertiary Education Commission (TEC) – the organisation responsible for funding tertiary education in New Zealand.

3. Purpose

a. The purpose of the TMF is to establish a robust framework for managing the financial risks associated with liquidity (cash flow management), funding and investment, counterparty credit exposure, foreign exchange, interest rate, and other financial markets

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risks of the University of Canterbury ("the University"). This policy outlines the approved policies in respect of all associated Treasury activity.

As circumstances change, the risk limits and operating parameters outlined in this policy will be formally reviewed and approved to ensure that the financial risks within the University continue to be prudently managed. In addition, regular reviews will be conducted to test the existing policy against the following criteria:

- the TMF document remains focused on policy with procedural content maintained in the separate University Treasury Procedures Manual;
- industry "standard practices" for a Tertiary Education Institution of the University's size;
- the risk bearing ability and tolerance levels of the underlying operations and stakeholder requirements; and
- the effectiveness and efficiency of Financial Services to recognise, measure, control, manage and report on the University's financial exposure to liquidity risk (cash flow management), interest rate risk, funding risk, counterparty credit risk, foreign exchange risk, operational risk and other associated financial risks.

All staff must be completely familiar with their responsibilities under the TMF at all times. Where external advisors are used in relation to any treasury-related work, they must be made aware of the TMF.

Adherence to this document is mandatory for all University personnel and any third party service providers. Amendments to the policy document can only be made in accordance with the procedures outlined in the *Framework Review section*.

b. The TMF is designed to address the University's treasury activity and responsibilities under existing legislation applying to the University. It does not include in its scope the treasury management framework for the controlled entities UC Foundation (UCF) and UC Trust Funds (UCTF). UCF and UCTF are not governed by the same legislative framework as the University. Both the UCF and UCTF have their own, individual separate Statements of Investment Principles and Objectives that fulfil the treasury management policy function.

4. Governance and Compliance

~~4.1.1.1. Treasury Organisational Structure~~

~~The management structure diagram below describes the hierarchy of reporting and the responsibilities of different individuals and entities within the Treasury structure. The Treasury function is identified in red4:~~

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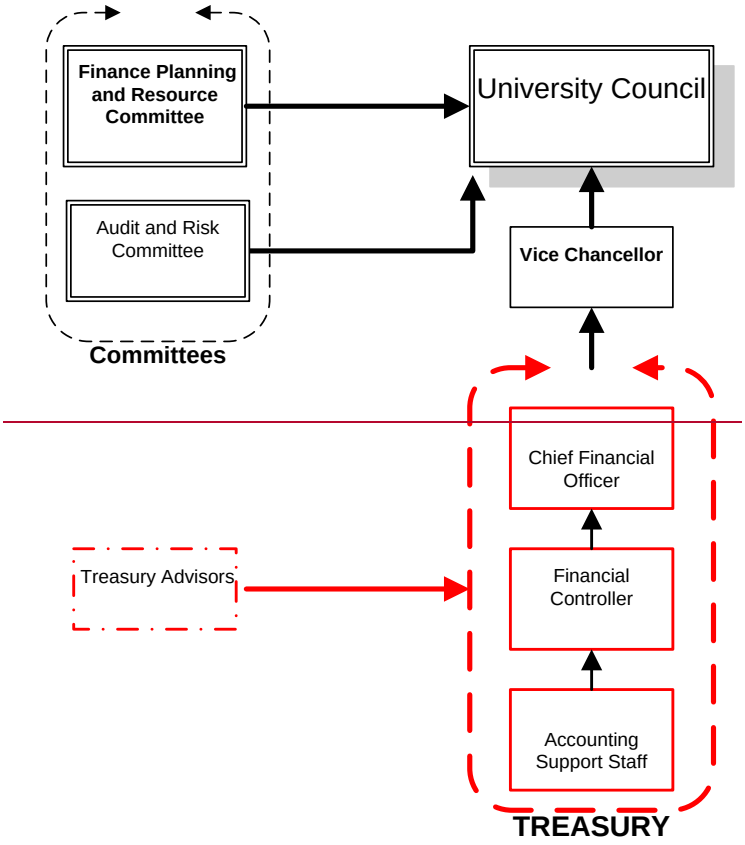

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.1 Treasury Responsibilities

The management structure diagram (see *Appendix A*) ~~below~~ describes the hierarchy of reporting and the responsibilities of different individuals and entities within the Treasury structure (. ~~T~~The Treasury function is identified in red on the diagram).~~:~~

The key responsibilities of the positions in the Treasury organisational structure are as follows:

~~The management structure diagram below describes the hierarchy of reporting and the responsibilities of different individuals and entities within the Treasury structure. The Treasury function is identified in red:~~

a. University Council

The University Council ("Council") is responsible for approving the TMF as well as approving any policy changes that are required from time to time. The TMF should be formally reviewed internally every year and by an independent qualified third party once every three years. The authority to make or change any part of the TMF cannot be delegated.

Council has specific responsibility under section *181(e) Education Act 1989 (New Zealand Legislation website)* to ensure that the University acts in a financially responsible manner that ensures efficient use of resources and maintains the University's long term viability.

In practice, Council delegates the implementation of this responsibility to the Vice-Chancellor, while retaining oversight through relevant, regular reporting by the Vice-Chancellor and the Senior Management Team to Council, the Finance, Planning and Resources Committee ("FPRC"), and the Audit and Risk Committee ("ARC").

b. Vice-Chancellor

Whilst Council has final responsibility for the policy governing the management of the University's financial market risks, it is the Vice-Chancellor who effectively has overall responsibility through the delegation from Council.

Specific responsibilities include:

- D~~d~~elegating authority to the Chief Financial Officer (CFO) in accordance with the Delegation Schedule,
- R~~r~~ecommending a TMF policy strategy to the Council, and
- A~~a~~pproving all foreign exchange and interest rate risk management transactions in accordance with policy parameters outside of the CFO~~hief Financial Officer~~ delegated authority.

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c. Chief Financial Officer

The Vice-Chancellor directly delegates to the CFO~~hief Financial Officer~~ overall responsibility for the day-to-day management of the Treasury function. The CFO ~~Chief Financial Officer~~ proposes detailed management directives in accordance with policy and ensures compliance with policy.

Specific responsibilities include:

- D~~d~~elegation of responsibilities for authorisation of transactions within prescribed delegation limits appropriate to the seniority of the individual and the tasks involved. Individual transactions or risk positions outside the TMF control limits are required to be submitted for "one up" approval (via the Vice-Chancellor to Council) before they occur or have been entered into.~~;~~
- R~~r~~eporting to the Vice-Chancellor, FPRC, and ARC on a timely basis, and advising on significant market events that may impact on the University.~~;~~
- R~~r~~eviewing, recommending change to the Vice-Chancellor and Council, implementing and monitoring the financial risk management strategies to protect the University's exposures to the financial markets within the approved policy limits and controls.~~;~~
- E~~e~~nsuring that foreign exchange, interest rate, funding, liquidity, counterparty credit and cash management procedures or policies are implemented, controlled and reported on in accordance with this policy.~~;~~
- E~~e~~nsuring that all bond, banking and Ministry of Education covenants and reporting requirements are met, and reporting to Council (via the Vice-Chancellor) where they are not met, or will not be met in a future period.~~;~~
- O~~o~~pening and closing bank accounts as provided in the University's Delegation Schedule.~~; and~~
- M~~m~~aintaining the relationship and monitoring the performance of the external advisors and treasury outsourcing service providers in accordance with established contracts.

In practice, the detailed transactions and procedures will be initiated by the Financial Services team under the Financial Controller within strict delegation limits and with due regard for segregation of duties. The activities of the Financial Services team will be subject to regular (monthly) reporting to the CFO ~~hief Financial Officer~~ and to Council and its sub-committees.

d. External Advisor and/or Outsourcing Service Provider

Where the University chooses to use the services of external advisors and/or a Treasury outsourcing service provider, their responsibilities may include responsibilities currently

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assigned to the position titles above providing these delegations are explicit in a formal written agreement.

The external advisor is **not** permitted

- to enter into any Treasury transaction of any type with any counterparty on behalf of the University, nor
- ~~to~~ accept transactions entered into with unauthorised counterparties outside of existing delegations.

5. Compliance Risk

As the University is partially publicly funded and accountable, it must maintain its financial resources within a robust financial framework which ensures compliance with the relevant legislation and restrictions. This is achieved through the management of its surplus cash flow to maximise returns whilst minimising risk in accordance with relevant legislation and restrictions.

The University is required to comply with the following relevant legislation:

- *Crown Entities Act 2004 (New Zealand Legislation website)*
- *Education Act 1989 (New Zealand Legislation website)*
- *Public Finance Act 1989 (New Zealand Legislation website)*.

Generally, the University can only invest in relatively risk free investments, being the same sort of investments permitted to the Treasury under section 65I of the *Public Finance Act 1989 (New Zealand Legislation website)* (see *Appendix B~~A~~* for full text).

The *Tertiary Education Commission (Tertiary Education Commission website)* ("TEC") provides specific guidance and protocols on investment by Tertiary Education Institutions.

The University is also required to meet the requirements of the NZX listing rules under the *Financial Markets Conduct Act 2013 (New Zealand Legislation website)* and meet the specific requirements of its Philanthropic Bond deed.

6. Risk Evaluation and Management

6.1 Risk Recognition

The University faces several treasury management risks:

- P~~p~~rice risk,
- F~~f~~oreign exchange risk,

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- Ccash flow interest rate risk,
- ffair value interest rate risk,
- Ccredit risk, and
- Lliquidity risk.

6.2 Main Principles of Risk Management

The University's primary financial management objective is to maintain adequate liquidity to meet its financial obligations as they fall due.

The University must meet its legislative responsibilities to act in a financially responsible manner that ensures efficient use of resources and maintains the University's long term viability.

All financial instrument risk management in this section is to be performed by Financial Services. Heads of Department/School must contact the CFO ~~Chief Financial Officer~~ or the Financial Controller where there is a significant foreign exchange or derivative component in a transaction.

Transactions of a speculative nature are not permitted.

6.3. Specific Financial Instrument Risk Management

a. Price Risk

Price risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate as a result of changes in market prices.

The equity investments that are held by the University are reflected within the financial statements either at cost, less impairment, or at fair value. The University considers that there is limited price risk since financial asset instruments largely consist of bank current and short term deposits, with minimal investment in equity instruments, which are shown at cost less impairment in the financial statements.

Financial liability instruments include Bonds, whose principal repayment is the face or carrying value of the Bond amount.

b. Foreign Exchange Risk

Foreign exchange rate risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate due to changes in foreign exchange rates.

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The University is exposed to foreign exchange rate risk mainly on the purchase of educational materials, including publications and equipment, from abroad. The timing of these purchases is well-documented, and hedging through corresponding forward exchange contracts is arranged.

The University does receive some funding of research in foreign currency (mostly US Dollars and Euros). Foreign currency bank accounts are maintained to manage this relatively small funding component, and conversion to New Zealand dollars made when required, and with reference to the exchange rate to optimise exchange gains.

The University considers that there is limited foreign exchange risk because purchase cash flows in foreign currency can be hedged with a significant degree of certainty of timing, and there is minimal revenue generated in foreign currency.

i. Risk Management – Forward Exchange Contracts

Generally, the University has committed exposure to foreign exchange risk, where a contract has been entered into or a purchase order approved. The risk should be assessed against the foreign currency cost for a purchase or project as a whole, not on individual progress or stage payments.

Forward exchange contracts are to be entered into as follows:

Committed Exposure ($NZ)	**Forward Exchange Contract Requirement**
Contract or purchase order less than $100,000.	Forward exchange contract MAY be entered into to hedge risk. Authorised by the Financial Controller.
Contract or purchase order more than $100,000/less than $500,000.	Forward exchange contract MUST be entered into to hedge risk. At least two quotes from approved banking counterparties must be obtained. Authorised by Chief Financial Officer.
Contract or purchase order more than $500,000.	Forward exchange contract MUST be entered into to hedge risk. At least two quotes from approved banking counterparties must be obtained. Authorised by Vice-Chancellor.

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Sometimes a contract or purchase may not be finally agreed, but the likelihood of completion will be high. Where this involves foreign currency purchases or revenue, the University may wish to commit to a forward exchange contract for the expected exposure.

The same forward exchange contract requirement would then apply to these expected exposures as for committed exposures, as per the table above.

ii. Approved List of Foreign Exchange Instruments

Foreign currency exposures may be hedged by use of

- spot purchased foreign currency held in a foreign currency account with an approved banking counterparty,
- non-complex forward foreign currency exchange contracts entered into with an approved banking counterparty,
- supplier guaranteed $NZ purchase price,
- foreign currency accounts, and
- currency swaps.

No other instruments are to be utilised to hedge foreign exchange risk.

All foreign currency trades must be executed with banks on the approved counterparty list (*Appendix C~~B~~*).

c. Cash Flow Interest Rate Risk

Cash flow interest rate risk is the risk that the cash flows from a financial instrument will fluctuate because of changes in market interest rates. This affects the University's cost of borrowing (increasing interest rates) and the return on its investments (decreasing interest rates).

i. Borrowing

The University currently has no bank or other institutional borrowing in place. The University has made a Bond issue with a fixed coupon rate, reset every five years. The University manages this commitment by taking out strategic interest rate swaps based on a notional amount equal to value of Bonds issued, and fixed to the timing of the rate resets.

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Under an interest rate swap contract, the University agrees to exchange the difference between floating and fixed rate interest amounts calculated on an agreed notional principal amount. This contract enables the University to mitigate future cash flow exposures on the interest rate reset (December 2014) of the issued fixed rate bond debt.

ii. Approved List of Interest Rate Instruments

- Interest rate swaps ("fixed to floating" and "floating to fixed").
- Forward start interest rate swaps.
- Forward rate agreement.

Forward start interest rate swaps may be entered, but the start date must be within two years forward.

All interest rate swap contracts that exchange floating rate interest amounts for fixed rate interest amounts are designated as cash flow hedges for financial reporting.

iii. Investments

The majority of the University's investments are in bank deposit and short term investments. The University makes regular investments of surplus cash to meet its forecast cash requirements, aiming to have cash maturing from investments in time to meet its cash flow requirements.

These investment decisions are made daily, generally with small parcels of cash, with those banks offering the best rate for the expected period of investment, at fixed rates, and within the limits placed by this framework on the allocation of investment to individual banks.

There is no cash flow interest rate risk in relation to its equity investments. The University does not consider there is any significant cash flow interest rate risk in relation to its bank deposits and short term investments.

d. Fair Value Interest Rate Risk

Fair value interest rate risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate due to changes in market interest rates.

Financial instruments which potentially subject the University to concentrations of interest rate risk consist principally of cash and cash equivalents, loans and leases.

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Although overall interest rate risk has been reduced due to the utilisation of fixed interest rates for both borrowing and investment in deposits, this does expose the University to a degree of 'fair value interest rate risk' should market conditions move significantly in an adverse direction.

However, due to the regular investment in and maturing of its deposits at fixed rates, which act to mitigate the impact of any change in market conditions, the University does not consider there is any significant fair value interest rate risk in relation to its bank deposits and short term investments.

e. Credit Risk

Credit risk is the risk that a third party will default on its obligations to the University, causing it to incur a loss.

The University is subject to an element of credit risk principally within receivables, cash and cash equivalents, and term deposits.

i. Cash, Cash Equivalents and Term Deposits

Credit risk in relation to cash, cash equivalents and term deposits is managed by diversification through placements with a number of different New Zealand financial institutions, with assessed S & P and/or Moody ratings (see table in *Appendix C~~B~~*). Credit exposure is further reduced by monitoring individual weightings.

If the rating of any borrower represented in the portfolio is downgraded such that the new rating falls outside the above guidelines, or if any borrower represented in the portfolio is placed on a negative credit watch, this will be reported to FPRC with a report on any resultant action taken by the respective individual/s.

Exposure is measured as follows:

- T~~t~~otal amounts invested with that counterparty plus accrued interest to date;~~,~~
- T~~t~~he greater of the face value or the mark to market value of loans and bonds;~~,~~ and
- T~~t~~he total face value of any derivative transactions.

Exposure to any other counterparties outside of Registered New Zealand Banks requires the approval of Council.

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ii. Receivables

Due to the large number of individual trade debtors, the concentration of credit risk with respect to receivables is greatly reduced, and there is active management of outstanding debtors. No further management is considered necessary.

There is some exposure to a small group of insurance companies, which have sound credit ratings.

No further management is considered necessary.

f. Liquidity Risk

Liquidity risk is the risk that the University will encounter difficulty raising liquid funds to meet commitments as they fall due.

Prudent liquidity risk management implies maintaining sufficient cash, the availability of funding through an adequate amount of committed credit facilities and the ability to close out market positions. The University has a programme of regular investment and disinvestment in short term deposits that meet its short and medium term cash flow and liquidity requirements.

The University prepares detailed cash flow forecasts covering the short, medium and long term (up to 10 years) forecasts based on expected student enrolment, staffing requirements, and capital expenditure plans to identify cash requirements. This in turn informs the University's engagement with TEC and the Minister over additional funding, and the discussions with banks.

The University has to operate within a strict legislative framework, where a Council decision on any borrowing requires the written consent of the Secretary of Education (see ~~*Borrowing Policy* in~~ section 7 below).

Monthly reports outlining the current and forecast cash position, including spending plans and likely revenue scenarios, are prepared for review by Council and its sub-committees. The University considers this is adequate to mitigate the risk that sufficient funds will not be available to meet its debts as they fall due in the short and medium term, while any longer term cash deficits are identified and action taken to fund them.

7. Borrowing ~~Policy~~

This section~~policy~~ addresses

- funding and governance,
- finance leases,

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- borrowing, and
- covenant management.

The risks in relation to borrowing are discussed in *section 6*.

7.1 Funding and Governance

The Council must review and approve all new loans and borrowing facilities, including the refinancing of existing lending facilities.

Under section *192(4)(d)* of the *Education Act 1989 (New Zealand Legislation website)*, the University is required to obtain written approval from the Secretary of the Ministry of Education to borrow funds. Therefore, any future borrowing requirements must be identified well in advance of the date they will be required to allow for the approval process.

The University prepares regular monthly financial reports and medium to long term cash flow forecasts (see above) that enable it to identify its borrowing requirements.

7.2 Finance Leases

Finance leases are a tool that allows the University to accumulate debt-like obligations with an embedded interest cost. Accordingly, the University may be able to obtain a cheaper source of funds through its banking relationships. All proposed finance lease arrangements must include a 'lease or buy' assessment prior to any contract being approved.

As a form of borrowing, finance leases must be within the current Ministry of Education University borrowing consent and approved by the Council or, if outside the borrowing consent, separately approved by the Secretary of Education through the TEC. For further information and the full requirements refer to *Finance lease information (Tertiary Education Commission website)*.

7.3 External Financing ~~Borrowing~~

a. Bond Issue

The University had a borrowing consent from the Ministry of Education dated 25 September 2009 that permitted it to borrow up to $100 million over a 10 year period through a retail bond offering.

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Under this consent, the University has issued a $50 million philanthropic bond with a maturity date of 15 December 2019, at a fixed rate of 7.25% for five years. This was reset on 15 December 2014 for a further five years to 1.75% over the then prevailing five year swap rate which resulted in a rate of 5.77%.

b. New Borrowing

Any new borrowing will be assessed under the new borrowing consent dated 25 August 2014 as follows:

- Funding need identified in the cash flow forecasts.
- Business case developed by the Vice-Chancellor and CFO~~hief Financial Officer~~.
- Consultation with an independent financial advisor appointed under agreed terms of reference with the TEC.
- Business case recommended for approval by the FPRC.
- Business case approved by Council.

Any additional borrowing in excess of the 25 August 2014 borrowing consent will require the above requirements, plus:

- A~~a~~ specific business case submitted to the TEC, Ministry of Education, and the Minister;
- A~~a~~pproval by the Secretary for Education – for further information and the full requirements refer to *How TEIs can Borrow Funds~~Borrowing~~ (Tertiary Education Commission website)*; ~~and~~
- N~~n~~egotiation with banks or the Crown, depending on approved funding sources.

c. Renegotiation

Once borrowing is in place, renegotiations of any new debt or facility should commence 12 months prior to the maturity date of the existing facility. This renegotiation should follow *the University's procurement policies and procedures*, with reference to the terms of the relevant consents received from the Secretary for Education.

Field Code Changed

7.4 Covenant Management

The University monitors all covenants currently in place as part of its monthly reporting to the Senior Management Team and Council. These covenants are set by the bond instrument trustees and the Ministry of Education (as part of its consent).

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The monitoring is performed for the current and short, medium, and long term forecast position.

Current covenants are included at *Appendix D~~C~~*.

8. Investment Policy

This policy addresses liquidity objectives and investment restrictions.

The risks in relation to investments are discussed in *section 6*.

8.1 Liquidity Objectives

The University will maintain an appropriate level of liquidity to ensure that funds are readily available to cover the payment of its wages and salaries and operating expenses for two months.

At any point in time this level of liquidity must be maintained in cash reserves (or other liquid assets).

8.2 Investment Restrictions

a. Equity Investments

The University does not invest in equity markets.

The University's interest in companies is not primarily for monetary gain and the principal reason for entering into arrangements which result in companies/partnerships/joint ventures being generated is for educational purposes. As such, the University will allow investments in research entities and other entities which are in line with the University's principles and main purpose of its operation.

b. Investments in Public Securities

S~~ection~~ *65I* of the *Public Finance Act 1989 (New Zealand Legislation website)* permits the University to invest money in public securities or in any other securities that the Minister for Tertiary Education may approve. The Vice-Chancellor is permitted to invest funds only with organisations and subject to the limits set out in *Appendix C~~B~~*.

c. Loans and guarantees

The University may advance loans to other parties for various projects which are considered to be in the University's interest, and which must be for educational or research

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purposes, and where the primary purpose is not the making of monetary gains (either through income in the form of interest or capital gain)[1]. These funds may be advanced in the form of a loan, which may be secured or unsecured.

Any loan application must comply with the conditions under Ssection *65I* of the *Public Finance Act 1989 (New Zealand Legislation website)*.

Reports on any loans should be sent to the CFO ~~Chief Financial Officer~~ on a regular basis, immediately following the monitoring reviews required or in the event of default or likely default. Any loans or guarantees must be approved by the Vice-Chancellor in line with the Delegations Schedule.

Any loans or investment whose primary objective is monetary gain and which are not allowed as of right under Ssection *65I* of the *Public Finance Act 1989 (New Zealand Legislation website)* require Ministerial approval. All such applications must be made through the CFO~~hief Financial Officer~~.

9. Cash Management

9.1 Cash Management Objectives

The University aims to create a liquidity buffer through accurate forecasting of daily cash flow requirements, such that surplus funds can be invested with the intent of increasing the interest earned or decreasing the cost of borrowed funds.

Cash management activities are undertaken within the following parameters:

- any cash flow surplus will be placed in bank call accounts, term deposits, or public securities;
- all short term investment funds are to be invested by reference to, and so as to match, known cash requirements over the subsequent 3-6 months. Any deposit timed to mature beyond 365 days is to be approved by the CFO~~Chief Financial Officer~~;
- long term investment funds can be invested with a maximum maturity of five years;
- the use of interest rate risk management on cash balances is permitted only with the specific approval of the Vice-Chancellor; and
- the requirement to meet Bank, Bond Trustee and TEC covenants.

[1] TEC investment protocols: 'The primary reason for a transaction (determines) … whether the transaction is an investment. The … making of loans for "educational purposes" would **not** be considered an investment because their primary purpose is not the making of monetary gain…. Money put into entities carrying out education or research activities may be an "investment" if the primary purpose is to make a monetary gain from those activities.'

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9.2 Investment of Surplus Funds

The investment powers of tertiary institutions are governed by ~~s~~section ~~65I (1)~~ and ss ~~(2)~~ of the ~~Public Finance Act 1989 (New Zealand Legislation website)~~ as set out in the Tertiary Education Institution Investment Protocols. ~~Section 23 specifies the types of investments in which Tertiary Education Institutions may invest.~~ These investments include

- deposits with a New Zealand registered bank, or any bank outside New Zealand approved by the Minister of Finance for the purpose,
- public securities, and
- such other securities as the Minister (i.e., the Treasurer) may from time to time approve for the purpose.

9.3 Foreign Currency Accounts

The University may operate foreign currency accounts in the following currencies:

- GBP
- USD
- EUR
- AUD

Any additional foreign currency accounts required may only be established with the approval of the Vice-Chancellor.

These accounts are for the purpose of facilitating payments to overseas suppliers for goods and services, and payments for foreign denominated investments as required.

Payments or receipts in other currencies are to be converted using spot foreign currency transactions.

10. Operational Risk

10.1. Risk Recognition and Definition

Operational risk is the risk that the University incurs losses as a result of people, systems, inadequate or failed internal processes or external events. This includes financial loss due to mismanagement, error, fraud or unauthorised use of financial products.

Effective operational risk management requires the development and implementation of a number of preventive and detective policies, procedures, controls and user guidelines. All treasury activities are carried out within the control framework described below. Compliance with these control policies is monitored by the ARC.

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10.2. Control Policies

a. Approved Policies

All treasury activities must be performed in accordance with the policies that have been approved by Council and which are set out in this document.

b. Roles and Responsibilities

It is the responsibility of all staff performing critical functions for the operation of Treasury to ensure that there is a suitable staff back up arranged for that activity.

All staff involved are to receive adequate training to enable them to perform their responsibilities to a high standard. Staff are also to receive training to develop skills and knowledge appropriate to the Treasury environment.

c. Segregation of Duties

Duties within the Treasury function are segregated to ensure that no one individual can carry out key functions independently and without scrutiny. This requirement will be reflected in the design of key processes. Specifically, segregation of the following functions is required:

- deal execution / funds transfer;
- payment release and authorisation; and
- deal confirmation, accounting and reconciliation of bank accounts.

d. Audit

Treasury will be subject to an internal audit on an agreed cycle with the CFO~~Chief Financial Officer~~, to verify compliance with policies and controls. The ARC is responsible for ensuring that the Audit is performed. The CFO~~hief Financial Officer~~ will receive and act on the report of the Auditors.

e. Reporting

Management will report to the ARC on at least an annual basis with regard to

- the nature and outcome of any periodic internal and/or external audits undertaken to test compliance with operational controls, even if these reviews identified no shortcomings; and

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- the nature and outcome of reviews undertaken to assess the suitability, effectiveness and efficiency of the operational control framework, even if these resulted in no identified shortcomings or recommendations for change.

f. Documentation

A full audit trail of documentation must be maintained in respect of each transaction. Treasury staff are responsible for maintaining appropriate documentation in respect of their individual responsibilities, and ensuring that they are always operating with the most up-to-date, valid information.

Treasury staff are also responsible to ensure appropriate bank documentation is in place and reviewed.

11. Reporting and Performance Measurement

The monthly reports to the Vice-Chancellor and Senior Management Team, the FPRC, and reports to the ARC and Council provide the following:

- **Cash flow management:** The accuracy of cash flow forecasting over the period, including daily cash holdings for the month, forecast cash balances for the current and subsequent year, and commentary on interest receivable where there are significant variances to budget.
- **Financial results:** A monthly detailed statement of comprehensive income, statement of changes in equity, statement of financial position, and statement of cash flows. Each statement will show results for the year to date (actual, budget, and prior year to date), full year budget, and full year forecast. The statements are to be accompanied by a sufficiently detailed commentary to explain significant variance between actual, budget and forecast results.
- **Debt and liquidity profile:** Current debt levels against budget and identification of any debt facility or balance that is due to mature in 12 months' time. The University's liquidity profile (levels of available funds).
- **Interest rate risk:** Current profile of fixed and floating rates against policy, including the fixed rate maturity profile. Exposure of the University to a +100 and +200 increase in interest rates in the next 6-12 months.
- **Covenants:** Performance against all covenants in place (see *section 7.4* above) and forecast position at year end, and at the end of the following year.
- **EFTS:** Levels of EFTS in comparison with prior year, current year budget and forecast, and following year forecast.

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- **Compliance:** Formal confirmation of compliance with borrowing requirements set out in *section 7* of this framework.

12. Framework Review

The framework is to be formally reviewed within 18 months from the date of Council approval, or if there is a major and fundamental change in the University's operations and financial risk profile.

The CFO ~~hief Financial Officer~~ has the responsibility to prepare the review report, to be presented to the ARC.

The report must include:

- R~~r~~ecommendation as to changes, deletions and additions to the policy, supported by appropriate analysis;
- O~~o~~verview of Treasury function in achieving the stated objectives;
- S~~s~~ummary of breaches of policy and one-off approvals outside policy, to highlight areas of policy tension;
- A~~a~~nalysis of bank service provision, share of financial instrument transactions;
- C~~c~~onfirmation that an internal audit, where applicable, has been completed and comment on any significant findings of the internal audit; ~~and~~
- A~~a~~ny comments and recommendations from the University's external auditors on the risk management / treasury activities, and the University's response.

The ARC receives the review report, approves policy changes and/or rejects recommendations for policy changes. This review must be performed in conjunction with an external treasury adviser at least once every three years.

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Related Documents and Information

Legislation

- Crown Entities Act 2004 (New Zealand Legislation website)
- Education Act 1989 (New Zealand Legislation website)
- Financial Markets Conduct Act 2013 (New Zealand Legislation website)
- Public Finance Act 1989 (New Zealand Legislation website)

UC Policy Library

- Conflict of Interest Policy, Principles and Guidelines (PDF, 407KB)
- Fraud Response Policy (PDF, 174KB)
- Procurement Policy (PDF)
- Purchasing Card (P-card) Policy (PDF, 277KB)
- Risk Management and Compliance Framework (PDF, 804KB)
- Sensitive Expenditure Policy (PDF, 418~~273~~KB) (Staff Only)
- Staff Code of Conduct (PDF, 185KB)
- Trust Funds Policy (PDF, 135KB)

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UC Website and Intranet

- Delegations of Authority Schedule~~s~~ (University of Canterbury Governance website)
- Purchasing procedures (University Financial Services ~~of Canterbury~~ intranet)

External

- How TEIs can borrow funds~~Borrowing~~ (Tertiary Education Commission website)
- How TEIs can enter into a finance lease~~Finance lease information~~ (Tertiary Education Commission website)
- How TEIs may i~~I~~nvest~~ments~~ (Tertiary Education Commission website)

Appendices

- Appendix A – Treasury Organisational Structure
- Appendix B~~A~~ – Legislative framework (extracts)
- Appendix C~~B~~ – Approved Counterparties
- Appendix D~~C~~ – Covenants

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Document History and Version Control Table			
Version	**Action**	**Approval Authority**	**Action Date**
For document history and versioning prior to 2013 contact ucpolicy@canterbury.ac.nz			
1.00	Major review of document and conversion into new template.	Chief Financial Officer	Sep 2013
1.01	Updated hyperlinks.	Policy Unit	Nov 2013
1.02	Update for opening and closing of bank accounts within delegation and revision of loan authorisation procedures.	Chief Financial Officer	Apr 2014
1.03	Review date pushed out.	Policy Unit	Sep 2014
1.04	Unscheduled review by Approval Authority.	Council.	Jan 2015
2.00	Scheduled review by Contact Officer.	Policy Unit	May 2016
3.00	Scheduled Review by Contact Officer – minor changes to the Appendix	Council	Apr 2017
4.00	Scheduled review by Contact Officer, minor changes, some sub-headings re-titled		Sep 2018

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Appendix A

Treasury Organisational Structure

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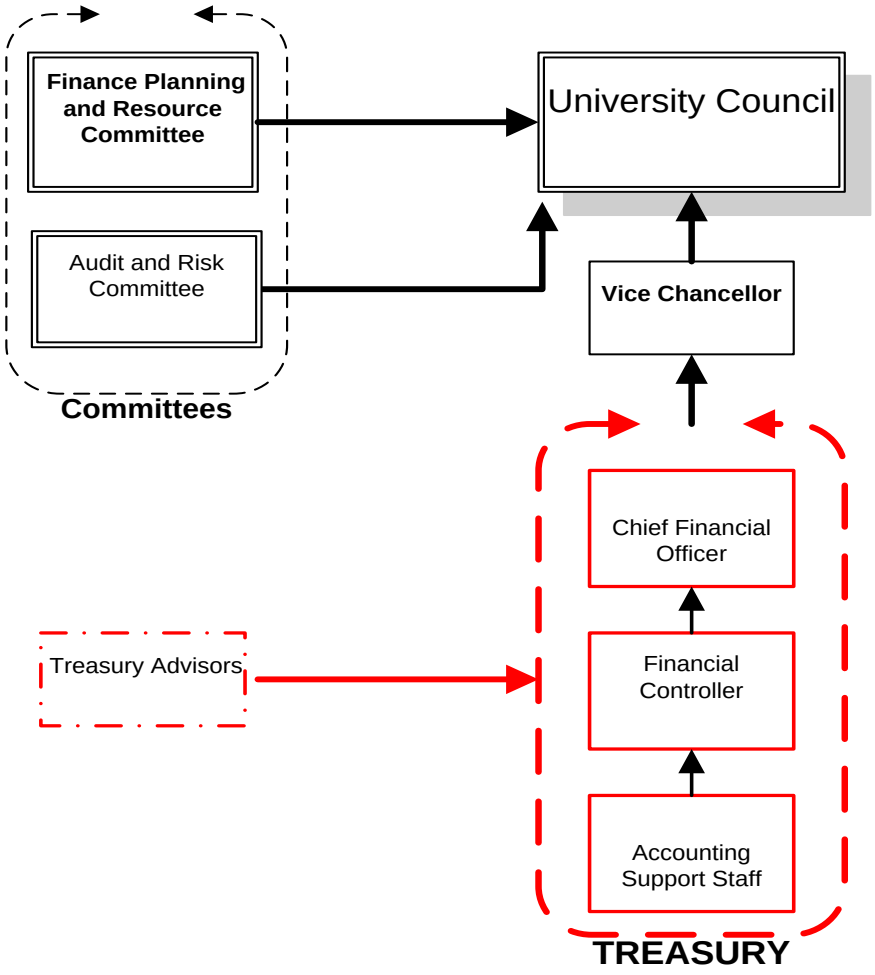

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

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Appendix BA

Legislative Framework (extracts)

NOTE: when referring to legislation, make sure the full Act is taken into consideration. If in doubt as to interpretation of legislation, seek legal advice through the Registrar.

Education Act 1989

181 Duties of councils

It is the duty of the council of an institution, in the performance of its functions and the exercise of its powers …

(e) to ensure that the institution operates in a financially responsible manner that ensures the efficient use of resources and maintains the institution's long-term viability.

192 Powers of institutions

(1) Subject to subsection (2), an institution has—

(a) the rights, powers, and privileges of a natural person; and

(b) the power to issue debentures; and

(c) the power to grant floating charges on the institution's undertaking or property, or any of it; and

(d) the power to do any other thing it is authorised to do by this Act, by any other enactment, or by any rule of law.

(2) None of the rights, powers, or privileges of an institution shall be exercised except for the purpose of performing—

(a) functions characteristic of institutions of the class to which the institution belongs; or

(aa) in the case of an institution that incorporates another institution or other institutions under section 164(4), functions characteristic of institutions of the class to which the incorporating institution belongs and functions characteristic of institutions of the class or classes to which the incorporated institution or institutions belong; or

(b) functions of a kind that, in the opinion of the institution's council,—

(i) may conveniently, and without disadvantage to the performance of those characteristic functions, be performed in association with those functions; and

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(ii) are appropriate for institutions of the class to which the institution belongs or, in the case of an institution that incorporates another institution or other institutions under section 164(4), are appropriate for institutions of the classes represented in the institution.

(3) Paragraphs (b) to (d) of subsection (1) do not affect the generality of paragraph (a) of that subsection.

(4) Subject to subsection (5), an institution shall not exercise any of the following powers without the written consent of the Secretary:

(a) the power to sell or otherwise dispose of assets or interests in assets:

(b) the power to mortgage or otherwise charge assets or interests in assets:

(c) the power to grant leases of land or buildings or parts of buildings:

(d) the power to borrow, issue debentures, or otherwise raise money.

(5) Subsection (4) does not prohibit an institution, without the consent of the Secretary, from—

(a) selling or otherwise disposing of, or mortgaging or otherwise charging, an asset or an interest in an asset, where the value of the asset or interest does not exceed an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister:

(b) granting a lease for a term that does not exceed, and when added to any term for which the lease may be renewed does not exceed, 15 years:

(c) borrowing, issuing debentures, or otherwise raising money, where the amount to be borrowed, the amount of the debentures, or the amount to be raised, does not exceed an amount determined by the Minister or ascertained in accordance with a formula determined by the Minister.

202 Application of money

The money of an institution shall be applied only—

(a) in payment or discharge of the expenses, charges, obligations or liabilities incurred or undertaken by or on behalf of the institution; or

(d) in payment of any remuneration or allowances payable to members of the council or of committees of the council or to the chief executive or members of the staff of the institution; or

(e) in making any other payments that are required or permitted by this Act or any other enactment to be made out of the money of the institution

222 Delegation by council

(1) The council of an institution may, from time to time, either generally or particularly, by writing signed by at least 2 members of the council, delegate to the chief

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executive of the institution or to a committee appointed under section 193(3) any of its functions or powers under this Act (except the power to appoint a chief executive) or any other Act.

(2) Where the council has, pursuant to subsection (1), delegated any functions or powers to the chief executive or a committee, the chief executive or committee may, with the prior approval in writing of the council, by writing signed by the chief executive or by at least 2 of the members of the committee, as the case may be, delegate such of those functions or powers as the council approves to a member of the staff of the institution.

(3) Subject to any general or special directions given or conditions imposed by the council, the person to whom any functions or powers are delegated under this section may perform those functions or exercise those powers in the same manner and with the same effect as if they had been conferred on that person directly by this Act and not by delegation.

Crown Entities Act 2004

No specific provisions relating to treasury management.

Public Finance Act 1989

65I Investment of public money

(1) The Treasury may, without further appropriation than this section, invest any money held in a Crown Bank Account or a Departmental Bank Account—

(a) on deposit with a bank (whether in New Zealand or elsewhere) approved by the Minister for the purpose; or

(b) in public securities; or

(c) in any other securities that the Minister may approve for the purpose.

(2) The Treasury may—

(a) invest the money for any period and on any terms and conditions that it thinks fit; and

(b) sell, or convert into money, any of the securities.

(3) The following must be paid into a Crown Bank Account:

(a) all interest received from the investment; and

(b) all money received from—

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(i) the redemption or maturity of the investment; or

(ii) the sale or conversion of the securities

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Appendix CB

Approved Counterparties

The UC Council approved counterparties, their long term credit ratings, and their associated exposure

Counterparty	S & P Rating	Moody's Rating	Maximum $Exposure	Maximum %Exposure of Total Funds
ANZ	AA-	Aa3	$150M	65%
ASB	AA-	Aa3	$150M	65%
BNZ	AA-	Aa3	$150M	65%
Kiwi Bank	A	A1	$50M	25%
Rabobank New Zealand	A	Not rated	$50M	25%
Westpac	AA-	Aa3	$150M	65%

Total exposure as a % of total funds

At all times, wherever possible, funds should be spread amongst counterparties to minimise the risk of counterparty failure. Emphasis should be on investing with counterparties with the highest S & P rating. When the market conditions exist that favour a particular approved counterparty to such an extent that uneven weightings would result, the policy allows the investment to be made provided the following conditions are met:

1. No counterparty with a S & P rating category of A is to have in excess of 25% of total funds or $50M (whichever is the lower) invested in it at any one time.
2. No counterparty with a S & P rating of higher than A is to have in excess of 65% of total funds or $150M (whichever is the lower) invested in it at any one time.
3. No investment in a counterparty with a S & P rating category of less than A will be allowed without Council approval.

The University Council approved financial instruments and their associated maximum maturities are as follows:

Counterparty	Investments maximum per counterparty
NZ Registered Bank	As above
NZ Government	Unlimited

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Appendix DC

Covenants

Bond

The Bond trust deed requires the University to ensure that the following financial covenant ratios are achieved during the year:

- **secured debt will not exceed 5% of the aggregate of debt plus equity, and**
- **debt will not exceed 25% of the aggregate of debt plus equity.**

Ministry of Education Borrowing Covenants

There are no financial covenants in the current borrowing consent from the Secretary for Education dated 25 August 2014, although there are the following provisions:

- appointment of an independent advisor 'as soon as practicable after the Council forms the view that it will be required to borrow more than $65 million under the terms of the funding agreement';
- provision of full Council and FPRC papers to TEC;
- strict limits on use of assets as security and the University retaining overall responsibility for its debt; and
- formal annual capital asset management planning and capital expenditure reporting.

These covenants cover the period from 25 August 2014, until new covenants are required.

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UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Report to the Council from a meeting of the Finance, Planning and Resources Committee held on Monday 15 October 2018

The Committee recommends:

1. CAPEX Report to 30 September

   That: Council note the CAPEX Quarterly Report to 30 September 2018.

2. Correspondence Regarding $50M Payment.

   That: Council note the correspondence regarding the $50M Government payment.

Ms Catherine Drayton
Chair
Finance, Planning and Resources Committee

23 October 2018

Memorandum | Pukapuka

Financial Services | Te Ratonga Ahumoni
Office: 6th Floor, Matariki
Extension: 93454
Email: keith.longden@canterbury.ac.nz

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

To:	Ki:	Council
CC:	Tārua:	-
From:	Nā:	Keith Longden
Date:	Rā:	24 October 2018
Subject:	Kaupapa:	30 September 2018 quarterly capital expenditure report
Purpose:	Aronga:	For information

I attach the Quarter 3, 30 September 2018 capital expenditure report.

The report shows continuing progress on many projects, but with underspend against the 2018 year to date capital budget of $54.3 million for UC Futures and other projects. Both RRSIC Stage 1 and CETF are in the 'final account' negotiation stages. A number of projects included in the 2018 budget have not progressed as quickly as anticipated during the 2018 budget cycle, resulting in the variance in actual to budget (year to date).

Rehua progress continues to cause concern however the knock-on effects with respect to College of Education, Health and Human Development and the College of Business and Law have now been mitigated. Positively, work on RRSIC stage 2 (Beatrice Tinsley) is underway, with completion planned in July 2019.

Recommendation:

For information.

Ngā mihi,

Keith Longden
Executive Director / Chief Financial Officer | Kaihautū Matua Ahumoni

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Quarterly Capital Expenditure Report

FINANCIAL SERVICES

September 2018

Prepared by:	Sarah Guo & Chu May Chan and Project Managers
Prepared for:	Keith Longden
Date:	24 October 2018
Version:	1.0

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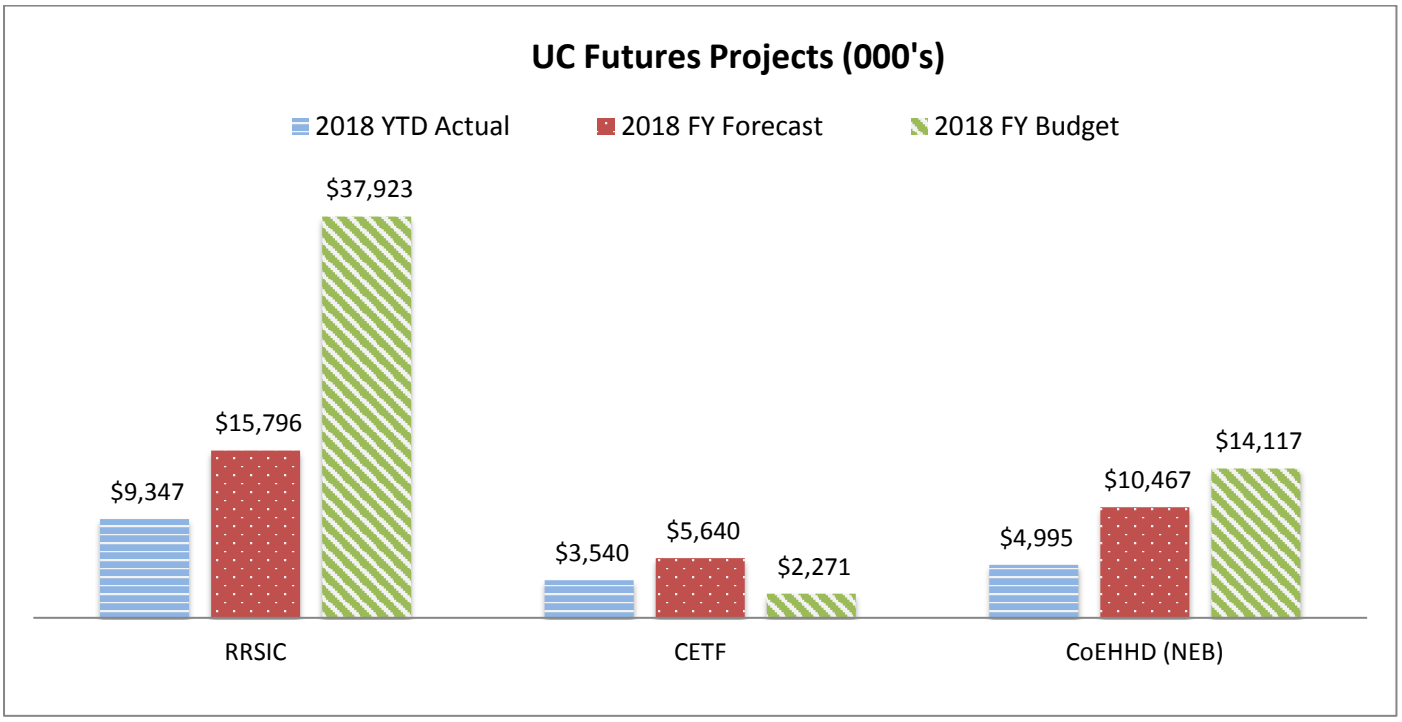
Executive Summary



Overall position – UC Capex

The reconciliation to the 30 September 2018 monthly report is as follows:

$ Capex	2018 YTD Capex Actual	2018 YTD Capex Budget	Variance A v B	2018 FY Capex Budget as per SMT Report
UC Futures	17,882,054	46,999,476	- 29,117,422	54,311,102
Other Projects	26,396,959	51,580,972	- 25,184,013	68,581,173
Colleges + Service Units	4,535,224	5,524,120	- 988,896	6,684,075
Total	**48,814,237**	**104,104,567**	**- 55,290,330**	**129,576,350**

** UC Futures includes RRSIC, CETF and Rehua*

Overall position – Capital Projects (excluding Colleges and Services Units)

	2018 YTD Total Project Actual a = b+c	2018 YTD Opex Actual b	2018 YTD Capex Actual c	2018 YTD Capex Budget d	2018 YTD Capex Variance e = d-c	2018 Budget f	Notes
UC Futures	22,168,102	4,286,047	17,882,054	46,999,476	29,117,422	54,311,102	1
Other Projects	29,191,249	2,794,290	26,396,959	51,580,972	25,184,013	68,581,173	2
Total	**51,359,351**	**7,080,338**	**44,279,013**	**98,580,447**	**54,301,435**	**122,892,275**	

	2018 Total Project Forecast A = B + C	2018 Opex Forecast B	2018 Capex Forecast C	2018 Budget D	2018 Variance E = D-C	Notes
UC Futures	37,887,691	4,286,047	33,601,644	54,311,102	20,709,458	3
Other projects	64,079,259	3,725,720	60,353,539	68,581,173	8,227,634	4
Total	**101,966,950**	**8,011,768**	**93,955,182**	**122,892,275**	**28,937,093**	

Notes:

1. At the end of Quarter 3, the three UC Futures Projects are $29.1M behind YTD budget. The main contribution to this variance is RRSIC $21.3M and Rehua $9.1M behind YTD budget..
2. Quarter 3 spend on other projects have been $25.2M under budget. Some of the projects have not progressed as quickly as was anticipated during 2018 budget cycle. Specifically, programme delays have affected the UCSA Redevelopment, Arts Precinct – Locke & Logie and Co-location of Communication Disorders projects. The business case for the Recreation Centre is currently being developed, while spend other projects is planned to begin in the latter half of the year.
3. UC Futures projects have a forecast below budget. The RRSIC and CETF are in a difficult position to predict cash flows due to projects waiting for negotiations and final account settlements.
4. There are no major changes to other projects' forecasts for 2018 when compared to budget.
5. Based on 2018 spend to date, for financial reporting, the forecast has been reduced by $40M.
6. Minor capital sectors (Library, Engineering Services and Campus Services) are all confident in achieving annual capital spend budget.

Capital Projects – In flight (excluding UC Futures projects)

	Capital Projects $000's	YTD Capex	Project To Date	Forecast Total Project Cost	Approved project (excl contingency)	Variance	Contingency	Total approved project budget (incl cont.)
Top Projects								
1	Student First Programme	2,797	10,018	21,800	21,800	-	-	21,800
2	UCSA Building	8,365	14,452	29,428	27,945	(1,483)	400	28,345
3	Arts Precinct - Locke & Logie	325	940	8,331	7,195	(1,136)	343	7,538
4	Co-location of Communication Disorders	490	638	5,003	4,200	(803)	206	4,406
								-
Buildings and services								-
5	UC Wellness Precinct Infrastructure	1,288	3,241	3,935	3,437	(498)	435	3,872
6	Clearing the Villages	1,315	1,636	3,022	3,334	312	-	3,334
7	Te Papa Hauora (Health Precinct)	1,140	1,433	1,813	1,611	(202)	53	1,663
8	Connon Hall	-	-	2,107	2,107	-	-	2,107
9	Garden Hall accommodation	577	601	77,735	77,735	-	12,840	90,575
Technology and Business								-
10	Storage Enhancement	48	112	7,345	4,824	(2,521)	300	5,124
11	Identity Access Management (Stage 1 & 2)	427	855	3,778	4,435	657	636	5,070
12	Windows 10 and Office 2016 upgrade	242	368	950	950	-	-	950
	Total Open Projects	**17,013**	**34,295**	**165,247**	**159,573**	**(5,675)**	**15,212**	**174,785**

5 Year Forecast

Capital Projects $000's		Total Project Forecast						
		Prior Years	2018	2019	2020	2021	2022	Total
Top Projects								
1	Student First Programme	5,556	6,140	7,086	3,019	-	-	21,800
2	UCSA Building	6,083	14,987	8,000	357	-	-	29,428
3	Arts Precinct - Locke & Logie	607	1,833	5,891	-	-	-	8,331
4	Co-location of Communication Disorders	53	4,248	702	-	-	-	5,003
Buildings and services								
5	UC Wellness Precinct Infrastructure	1,945	1,736	253	-	-	-	3,935
6	Clearing the Villages	71	2,951	-	-	-	-	3,022
7	Te Papa Hauora (Health Precinct)	244	1,502	66	-	-	-	1,813
8	Connon Hall	-	1,404	703	-	-	-	2,107
9	Garden Hall accommodation	-	2,863	28,737	32,870	13,265	-	77,735
Technology and Business								
10	Storage Enhancement	-	4,122	702	840	840	840	7,345
11	Identity Access Management (Stage 1 & 2)	428	1,779	1,571	-	-	-	3,778
12	Windows 10 and Office 2016 upgrade	-	950	-	-	-	-	950
	Total Open Projects	**14,988**	**44,517**	**53,711**	**37,086**	**14,105**	**840**	**165,247**

UC Futures

The UC Futures projects' budgets in the table below reflect the latest approved business case.

Capital Projects $000's		YTD Capex	Project To Date	Total approved project budget (incl cont.)	Original approved budget	Variance (current approved - original BC)	Forecast Total Project Cost
RRSIC							
	Rutherford Regional Science and Innovation Centre	9,347	190,733	227,820	212,500	3,500	225,925
CETF				-		-	
	Canterbury Engineering the Future	3,540	161,338	168,850	142,800	20,700	163,458
Rehua				-		-	
	College of Education, Health and Human Development Relocation Project	4,995	70,714	83,732	55,000	24,332	80,570
	Total UC Futures	**17,882**	**422,785**	**480,402**	**410,300**	**48,532**	**469,954**

Annex 1 – Detailed project financials

Capital Projects - Expenditure Schedule
as at: **September 2018**

	Project name	Project number	PM	2018 Project costs from General Ledger						2018 Project $			Project Figures					Project Cash Flow Forecast (capex + opex)						Oracle Budget Figures	
				Prior yrs CAPEX	Prior Yrs Opex	Costs to end of previous financial year	September 2018 YTD CapexCosts	September 2018 YTD OpexCosts	Life to date Actual costs	2018 Project Forecast spend	2018 Capex Budget per Oracle Does not change	2018 Expected Variance	Total Authorised Project $ Value	Authorised Project Contingency	Authorised Project Cost	Expected Project Cost	Variance	Balance brought forward from previous years	2018	2019	2020	2021	2022	2018 Capex Budget per Oracle Does not change	2018 Variance
Summary																									
a	Project Capex - Open			11,947,860	3,040,100	14,987,960	17,013,333	2,293,895	34,295,188	44,516,594	37,504,594	(7,012,000)	159,572,549	15,211,995	144,360,554	165,247,251	(20,886,697)	14,987,960	44,516,594	53,711,256	37,085,627	14,105,481	840,333	37,504,594	(7,012,000)
b	Minor Capital			45,433,126	30,488	45,463,614	7,310,186	14,510	7,324,696	19,564,302	25,338,999	5,774,697	5,479,626	-	5,479,626	4,848,877	630,748	45,463,614	19,564,302	22,154,972	31,250,662	32,005,129	28,911,536	25,338,999	5,774,697
c	Approvals in Principle			1,039,766	2,324,701	4,404,233	30,874	-	4,435,107	4,129,102	6,250,000	2,120,898	-	110,550	994,950	58,688,623	(58,688,623)	4,404,233	4,129,102	23,545,779	46,700,828	61,413,332	69,358,516	9,050,000	4,920,898
	Project Capex - Closed			205,860,306	16,036,549	221,896,855	2,042,566	485,885	224,425,306	2,553,336	3,371,655	818,319	191,022,966	7,120,802	183,902,164	257,427,080	(21,682,745)	250,144,141	2,553,336	4,760,000	100,000	-	-	3,371,655	818,319
	Total			**264,281,058**	**21,431,839**	**286,752,663**	**26,396,959**	**2,794,290**	**270,480,298**	**70,763,334**	**72,465,248**	**1,701,914**	**356,075,141**	**22,443,347**	**334,737,294**	**486,211,832**	**(100,627,317)**	**314,999,948**	**70,763,334**	**104,172,007**	**115,137,117**	**107,523,942**	**99,110,385**	**75,265,248**	**4,501,914**
(a) Project Capex																									
	Largest Project Approvals																								
	Student First Programme	DVSMS	Jenny C	3,045,807	2,509,821	5,555,628	2,796,754	1,665,911	10,018,293	6,140,168	4,162,030	(1,978,138)	21,800,000	-	21,800,000	21,800,000	-	5,555,628	6,140,168	7,085,690	3,018,514	-	-	4,162,030	(1,978,138)
	UCSA Building	B1785	Gareth J	5,976,109	107,300	6,083,409	8,364,848	4,045	14,452,303	14,987,315	18,721,811	3,734,496	27,945,000	400,000	27,545,000	29,428,037	(1,883,037)	6,083,409	14,987,315	8,000,033	357,280	-	-	18,721,811	3,734,496
	Arts Precinct - Locke & Logie	B1989	Richard G	586,621	20,035	606,656	324,564	9,126	940,346	1,833,237	2,658,560	825,323	7,195,025	342,620	6,852,405	8,330,976	(1,478,571)	606,656	1,833,237	5,891,083	-	-	-	2,658,560	825,323
	Co-location of Communication Disorders	B1970	Sonia B	20,430	32,997	53,426	490,337	93,828.65	637,592	4,248,000	3,978,000	(270,000)	4,200,000	206,000	3,994,000	5,003,426	(1,009,426)	53,426	4,248,000	702,000	-	-	-	3,978,000	(270,000)
	Largest Project Approvals Total			**9,628,967**	**2,670,153**	**12,299,120**	**11,976,503**	**1,772,910**	**26,048,533**	**27,208,720**	**29,520,401**	**2,311,681**	**61,140,025**	**948,620**	**60,191,405**	**64,562,440**	**(4,371,035)**	**12,299,120**	**27,208,720**	**21,678,806**	**3,375,794**	**-**	**-**	**29,520,401**	**2,311,681**
	Buildings and Infrastructure																								
	UC Wellness Precinct Infrastructure	B1983	Gareth J	1,871,336	73,770	1,945,106	1,288,251	7,600.00	3,240,957	1,736,499	948,104	(788,395)	3,437,000	435,000	3,002,000	3,935,050	(933,050)	1,945,106	1,736,499	253,445	-	-	-	948,104	(788,395)
	Clearing the Villages	Bvillages	Sonia B	6,586	64,375	70,961	1,315,084	249,629.73	1,635,675	2,951,048	2,663,048	(288,000)	3,334,260	-	3,334,260	3,022,009	312,251	70,961	2,951,048	-	-	-	-	2,663,048	(288,000)
	Te Papa Hauora (Health Precinct)	B1982	Alan P	12,560	231,802	244,362	1,139,854	49,209.39	1,433,425	1,502,090	1,502,090	-	1,610,540	52,700	1,557,840	1,812,731	(254,891)	244,362	1,502,090	66,279	-	-	-	1,502,090	-
	Connon Hall	B1995	Ian S	-	-	-	-	-	-	1,404,000	-	(1,404,000)	2,107,000	-	2,107,000	2,107,000	-	-	1,404,000	703,000	-	-	-	-	(1,404,000)
	Garden Hall accommodation	B1998	Jonathan L	-	-	-	576,531	24,753.56	601,285	2,863,352	-	(2,863,352)	77,735,000	12,840,000	64,895,000	77,735,000	(12,840,000)	-	2,863,352	28,737,000	32,869,500	13,265,148	-	-	(2,863,352)
	Buildings and InfrastructureTotal			**1,890,482**	**369,947**	**2,260,429**	**4,319,720**	**331,193**	**6,911,342**	**10,456,989**	**5,113,242**	**(5,343,747)**	**88,223,800**	**13,327,700**	**74,896,100**	**88,611,790**	**(13,715,690)**	**2,260,429**	**10,456,989**	**29,759,724**	**32,869,500**	**13,265,148**	**-**	**5,113,242**	**(5,343,747)**
	Information Technology																								
	Storage Enhancement	L0274	Vincent J	-	-	-	48,141	64,290.98	112,432	4,122,310	-	(4,122,310)	4,824,000	300,000	4,524,000	7,345,000	(2,821,000)	-	4,122,310	701,690	840,333	840,333	840,333	-	(4,122,310)
	Identity Access Management (Stage 1 & 2)	L0275	Stephen S	428,411	-	428,411	426,669	-	855,079	1,778,575	2,870,951	1,092,376	4,434,724	635,675	3,799,049	3,778,022	21,027	428,411	1,778,575	1,571,036	-	-	-	2,870,951	1,092,376
	Windows 10 and Office 2016 upgrade	L0279	Vincent J	-	-	-	242,301	125,500.99	367,802	950,000	-	(950,000)	950,000	-	950,000	950,000	-	-	950,000	-	-	-	-	-	(950,000)
	Information Technology Total			**428,411**	**-**	**428,411**	**717,110**	**189,792**	**1,335,313**	**6,850,885**	**2,870,951**	**(3,979,934)**	**10,208,724**	**935,675**	**9,273,049**	**12,073,022**	**(2,799,973)**	**428,411**	**6,850,885**	**2,272,726**	**840,333**	**840,333**	**840,333**	**2,870,951**	**(3,979,934)**
	Project Capex - Open Total			**11,947,860**	**3,040,100**	**14,987,960**	**17,013,333**	**2,293,895**	**34,295,188**	**44,516,594**	**37,504,594**	**(7,012,000)**	**159,572,549**	**15,211,995**	**144,360,554**	**165,247,251**	**(20,886,697)**	**14,987,960**	**44,516,594**	**53,711,256**	**37,085,627**	**14,105,481**	**840,333**	**37,504,594**	**(7,012,000)**
(b) Minor Capital																									
	Library - Information Resources	LIBS	Anne S	13,972,156	-	13,972,156	3,009,647	-	3,009,647	3,717,755	2,546,755	(1,171,000)						13,972,156	3,717,755	3,726,541	2,430,488	2,553,374	2,683,447	2,546,755	(1,171,000)
	Library - Others	LIBA	Anne S	-	-	-	-	-	-	333,700	333,700	-						-	333,700	79,200	284,200	147,700	294,500	333,700	-
	Facilities Services - Minor Capital	ENGS	Rob O	14,833,471	-	14,833,471	2,380,763	-	2,380,763	5,034,237	5,034,237	-						14,833,471	5,034,237	4,531,061	10,800,000	11,016,000	11,236,320	5,034,237	-
	Campus Wide Enhance & Humanise the campus (JOAB)	B2176	Catherine S	-	-	-	25,116	14,510	39,626	-	-	-						-	-	-	-	-	-	-	-
	ITS - Equipment	ITSM	Andy K	8,686,702	11,988	8,698,691	681,986	-	681,986	3,217,000	6,362,697	3,145,697						8,698,691	3,217,000	3,287,299	5,029,144	5,354,099	4,409,324	6,362,697	3,145,697
	ITS - Network Storage	L0030	Andy K	4,830,377	18,500	4,848,877	-	-	-	-	3,800,000	3,800,000	5,479,626	-	5,479,626	4,848,877	630,748	4,848,877	-	-	-	-	-	3,800,000	3,800,000
	Campus Services	CMPS	Michael O	2,364,654	-	2,364,654	437,674	-	437,674	477,535	477,535	-						2,364,654	477,535	578,772	592,936	646,621	697,004	477,535	-
	Capital Works - other	CWRKS	Brian P	-	-	-	775,000	-	775,000	-	-	-						-	-	-	-	-	-	-	-
	Campus Services - Fleet	CMPS F	Michael O	745,765	-	745,765	-	-	-	-	-	-						745,765	-	-	-	-	-	-	-
	UC Enhance & Humanise Campus	B1985	Rob O	-	-	-	-	-	-	100,000	100,000	-						-	100,000	100,000	100,000	100,000	100,000	100,000	-
	College / Unit Minor Capex (Including Teaching & Research Equip	BAU Col	-	-	-	-	-	-	-	6,684,075	6,684,075	-						-	6,684,075	9,852,099	12,013,894	12,187,335	9,490,941	6,684,075	-
				45,433,126	**30,488**	**45,463,614**	**7,310,186**	**14,510**	**7,324,696**	**19,564,302**	**25,338,999**	**5,774,697**	**5,479,626**	**-**	**5,479,626**	**4,848,877**	**630,748**	**45,463,614**	**19,564,302**	**22,154,972**	**31,250,662**	**32,005,129**	**28,911,536**	**25,338,999**	**5,774,697**
(c) Approvals in Principle - Still to be Business cased																									
	CMP - Sport and Recreation Centre	B1993		-	-	-	28,282	-	28,282	150,000	5,000,000	4,850,000	-	-	-	54,307,000	(54,307,000)	-	150,000	3,910,000	20,200,000	20,556,000	9,491,000	5,000,000	4,850,000
	Research Computer Cluster (New in 2017 and ongoing requireme	L0272		-	-	-	-	-	-	80,000	250,000	170,000	-	-	-	1,580,000	(1,580,000)	-	80,000	300,000	400,000	500,000	300,000	250,000	170,000
	Cyber Security Programme	L0271		-	-	-	-	-	-	801,623	1,000,000	198,377	-	-	-	2,801,623	(2,801,623)	-	801,623	500,000	500,000	500,000	500,000	1,000,000	198,377
	Dovedale Accommodation Stage 2 (Education Gym)	B1991	Sonia B	-	23,465	23,465	2,592	-	26,057	530,000	-	(530,000)		-	-			23,465	530,000	-	-	-	530,000	-	(530,000)
	LTCP Future Projects (yet to be formally approved)	Placeholder		-	1,478,926	2,518,692	-	-	2,518,692	2,567,479	-	(2,567,479)	-	110,550	994,950	-	-	2,518,692	2,567,479	18,835,779	25,600,828	39,857,332	58,537,516	2,800,000	232,521
	Approvals in Principle - Still to be Business cased Total			**1,039,766**	**2,324,701**	**4,404,233**	**30,874**	**-**	**4,435,107**	**4,129,102**	**6,250,000**	**2,120,898**	**-**	**110,550**	**994,950**	**58,688,623**	**(58,688,623)**	**4,404,233**	**4,129,102**	**23,545,779**	**46,700,828**	**61,413,332**	**69,358,516**	**9,050,000**	**4,920,898**

Memorandum Pukapuka

Financial Services
Office: Level 5, Matariki
Extension: 93101
Email: heather.schluckebier@canterbury.ac.nz

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Ki:	To:	UC Council
Nā:	From:	Heather Schluckebier, UC Futures Senior Analyst Cc Robyn Nuthall, UC Futures Programme Director
Rā:	Date:	Wednesday, 24 October 2018
Kaupapa:	Subject:	The Final $50m Payment as part of the Crown Funding Agreement
Aronga:	Purpose:	For information

The final letter formalising UC's request for the $50m payment to complete the Crown's post-earthquake support arrangements for the University was endorsed by the Governance Oversight Group (GOG) at its 29 August meeting and submitted to the Ministers for Tertiary Education, and Finance on 30 August, 2018.

On 26 September, UC received confirmation from Minister Hipkins that UC met the conditions of the Crown Funding Agreement and that both Ministers had authorised payment of the final $50m. This letter is attached for information. Payment of the final $50m was received on 4 October.

In addition to adding his congratulations on UC's achievements in recovery, the Minister noted he hopes to visit the campus soon. The Chancellor's reply letter dated 5 October is also attached. It includes an invitation to the Minister to visit UC at next month's Chancellor's Dinner.

This final payment of the (up to) $260m in financial support from the Government under the Crown Funding Agreement is a significant and notable milestone in the recovery and transformation of UC post earthquake, reflecting the efforts of the Council, SMT and teams of UC staff and contractors to meet our obligations under the Agreement and to cement our recovery.

For information

Ngā mihi,
Heather Schluckebier,

Kaitātari Matua, UC ki Mua

Hon Chris Hipkins

MP for Rimutaka

Minister of Education
Minister of State Services
Leader of the House
Minister Responsible for Ministerial Services

26 SEP 2018

Dr John Wood
Chancellor
University of Canterbury
Private Bag 4800
CHRISTCHURCH 8140

Sent by email: blue-duck@xtra.co.nz

Dear Dr Wood

University of Canterbury – payment of the final $50 million of Crown capital funding

I would like to thank you for your letter on 31 August 2018 regarding the final Crown payment of $50 million to the University of Canterbury (UC).

I have been advised that UC has met the conditions of the funding agreement between the Crown and UC regarding payment of the final $50 million of Crown capital funding. The Minister of Finance and I have therefore authorised payment of the final $50 million to be made to UC.

The Crown has now paid the full $260 million to UC that was set aside in 2013 to assist with the rebuild of your science and engineering facilities and to support your recovery from the 2010 and 2011 earthquakes.

I would like to congratulate you and the staff at UC on the significant progress you have made in recovering from the devastating effects of the 2010 and 2011 earthquakes. This includes not only the reconstruction of UC's campus, but also the significant growth you have recorded in student numbers over recent years and the changes you are introducing to the way that you teach and the types of graduates UC produces. The final Crown payment of $50 million should assist UC complete its recovery over coming years and move towards a sustainable future.

I note from the GOG Chair's recent report that the GOG has resolved to only meet once in person in 2019. I am comfortable with these arrangements given UC's current situation and that reporting will continue to be provided to GOG members quarterly.

I look forward to continuing to be updated by the TEC and the GOG on UC's performance and your progress towards full recovery. I also hope to visit the UC campus and your new state of the art facilities in the near future.

Yours sincerely

Chris Hipkins
Minister of Education

cc. Tim Fowler, Chief Executive, Tertiary Education Commission
Dr Rod Carr, Vice-Chancellor, University of Canterbury

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Chancellor's Office
Dr John Wood, Chancellor
Tel: +64 3 369 5115
Email: John.Wood@canterbury.ac.nz

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

5 October 2018

Hon Chris Hipkins
Minister of Education
Parliament Buildings
Wellington

By email: nic.turner@parliament.govt.nz

Tēnā koe Minister,

Thank you for your letter of 26 September 2018 advising of the authorisation of the final Crown capital contribution to the University of Canterbury. I am advised that the funds have been received by the University. This payment represents a significant milestone in the recovery and transformation of the University following the earthquakes of 2010 and 2011.

On behalf of the University Council and senior leadership of the University, I wanted to again acknowledge the support of previous and current Governments, without which the University would not have recovered.

I note in your letter your desire to visit our campus. We would be very pleased to host your visit and would like to propose you join us for the Chancellor's Dinner which is to be held on 9 November. This is an annual event at which the Council awards three prestigious medals to staff – for Research, Teaching and for Innovation. We host around a hundred guests drawn from the wider community of stakeholders and on this occasion will also acknowledge the contribution of Dr Rod Carr who will be retiring from his position as Vice Chancellor early in the new year. You would be welcome to speak if you wished to.

If you are able to join us on this occasion we could also arrange a tour of facilities of interest to you. However, if this is not a convenient time, we could no doubt find another opportunity to host a visit. Perhaps your office could contact Niki Hudson at niki.hudson@canterbury.ac.nz to discuss options.

Thank you once again,
Ngā mihi,

John Wood

Dr John Wood, CNZM, QSO, Amb. Rtd.
Chancellor | Tumu Kaunihera

TE POARI AKORANGA

ACADEMIC BOARD

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

RECOMMENDATIONS TO THE COUNCIL

FROM A MEETING OF THE ACADEMIC BOARD

HELD ON FRIDAY 12 OCTOBER 2018

The Board recommends:

1. **That the Council note the attached report of the Academic Board meeting.**

2. **That the Council approve the Graduating Year Reports (GYRs) endorsed by the Academic Board for forwarding to CUAP.**

   The Graduating Year Reviews are the final step in the national quality assurance process undertaken by CUAP for the introduction of new qualifications onto the Qualification Framework from the university sector. The reviews occur within three years of the first graduating cohort. The reviews and the review process are presented to CUAP and peer reviewed by individual universities.

   Reviews were undertaken of the following programmes:
   1. Postgraduate Diploma in Journalism
   2. Digital Humanities for the BA(Hons)
   3. Master of Business Management
   4. Postgraduate Diploma in Business
   5. Master of Professional Accounting
   6. Master of Commerce – addition of 180 point option
   7. Master of Applied Finance and Economics
   8. Bachelor of Health Sciences and Society and Policy for Bachelor of Health Sciences
   9. Diploma in Early Childhood Education
   10. I Economics and Finance and ii Finance in Master of Science/Postgraduate Diploma in Science
   11. Master of Speech and Language Pathology
   12. Environmental Science endorsement in the BSc

   The Academic Board endorsed all the reviews.

3. **That the Council approve the minor changes to the Academic Dress and Specifications Regulations.**

Professor Ian Wright
Chair, Te Poari Akoranga – Academic Board 15 October 2018

UNIVERSITY OF CANTERBURY

REPORT OF THE ACADEMIC BOARD MEETING HELD ON

FRIDAY 12 OCTOBER 2018

TE POARI AKORANGA

The Academic Board reports for information the following matters that have been considered since the September 2018 meeting of the Board:

CHAIR'S REPORT

The Chair noted the following:

- Congratulations to Dr Shea Esterling, Law, on her election to the James Logie Memorial Collection Acquisition Committee as the Academic Board representative.

- That the Ministry of Education had announced the terms of reference for the review of the PBRF which was likely to take place from April 2019 onwards. The terms of reference showed that particular emphasis of the review would consider whether the impact of research should be considered, whether the unit of assessment might move from the individual to another group such as their Department/School, whether the process supports staff diversity (e.g., gender, ethnicity, age, part-time, permanent workers etc), and could the process be more cost-effective? One suggestion was that the assessment period might move from six years to ten, which he warned would have particular implications for UC. He agreed to circulate the review website to members and noted that UC would make a response in due course.

THE VICE-CHANCELLOR'S REPORT

The Vice-Chancellor took the report as read, and made the following observations:

- Record numbers of expressions of interest in the Halls of Residence for 2019 have been received. There has been a particular increase in interest from prospective students in Auckland, Tauranga and Wellington. Initial teacher education qualifications have seen a 35% increase in expressions of interest.
- The final Crown capital contribution has been received by UC, which is an encouraging milestone.
- The predicted date for moving into the Rehua building is 6 December.

The Vice-Chancellor also reported on a UNZ meeting he had attended earlier in the day. He updated members on the following items:

- UNZ had expressed its disappointment that the terms of reference for the PBRF review had been agreed without consultation with the universities.
- The Education Amendment Bill had completed its second reading. The main change was the move to have two staff representatives on Council, which UC already allowed, but also included direct election to Council for staff and student representatives which would be a change for UC.
- On the subject of microcredentials, CUAP had agreed that Appendix H of their Handbook gave sufficient guidance for future developments.
- Further negotiation was underway in relation to changes to the administration of the first year fees-free policy;

- The Minister had circulated a consultation on the criteria for University status.
- The previous Minister Steven Joyce had begun to investigate what research the government was funding, which then extended to what research was currently being carried out. This raised issues about managing the data, cost and the use to which the information might be put. UNZ did not feel that universities had been sufficiently consulted on the National Research Information System (NRIS) project.

A question was asked from the floor about progress on the discussions with Lincoln. The Vice-Chancellor responded that a high level steering group had been established, with eight work streams each currently working through a discovery phase. A joint presentation on alternative models of partnership would be made to officials in Wellington on 30 October. Any final proposal would need to be acceptable to both University Councils and would be presented to the Minister by 31 December.

A member asked whether an increase in staff numbers would follow the suggested increase in student numbers. The Vice-Chancellor replied that Canterbury has a lower than average staff to student ratio although this is not evenly distributed across all areas. However if the University continues to grow, more resources will be needed.

A further question was asked about Lincoln's financial status. The Vice-Chancellor reiterated that a process was underway to investigate the situation which appeared to be mixed – overall Lincoln was close to breakeven and had the highest proportion of research and consulting income of all New Zealand universities, however its funding from domestic EFTS was comparatively low, and it relied to some extent on its 28% of full fee paying international students.

REPORT FROM THE ACADEMIC ADMINISTRATION COMMITTEE

Graduating Year Reviews

The Assistant Vice-Chancellor (Academic) introduced the annual Graduating Year Reviews (GYRs). The reviews occur as part of the CUAP process within three years of the first graduating cohort. The AAC had reviewed each of the reports:

1 Postgraduate Diploma in Journalism

The Dean of Arts noted that although this qualification had been successful in terms of the employability of its graduates and quality indicators, there was a national decline in journalism enrolments so it will be taught for the last time in 2019. From 2019, students would be able to enrol in a journalism major within the new Bachelor of Communication.

2 Digital Humanities for BA(Hons)

The Dean of Arts reported that this programme will be suspended, however individual courses from the programme will remain available to students. The courses were particularly appreciated by those enrolled in the Master of Applied Data Science. She confirmed that there were no implications for staff employment by this change, but did not want to commit to a date when the programme suspension might be lifted.

3 Master of Business Management
4 Postgraduate Diploma in Business
5 Master of Professional Accounting

The Dean of Business spoke to the three reviews together as they shared some common courses. All three had proved popular and were being recommended for continuation. A member asked

why a GPA of 7 or more had been chosen as a threshold for progressing to internships. Dr James said that this was to help manage the supply of internships and reduce the reputational risk involved, and manage the workload for College staff and partners in industry.

6 Master of Commerce –addition of 180 point option
The MCom had been the subject of an academic review in 2017 and was recommended to continue.

7 Master of Applied Finance and Economics
The Dean of Business noted that the data was presently differently in this GYR. It was created manually because of the degree running over into the following January which skewed the initial figures provided.

8 Bachelor of Health Sciences and Society and Policy for Bachelor of Health Sciences
The Dean of Education and Health indicated that there was sufficient interest to justify continuing with the degree and the Society and Policy major.

9 Diploma in Early Childhood Education
As mentioned at the previous meeting, this qualification is being discontinued. The GYR had to be undertaken because a student had completed.

10 i. Economics and ii. Finance in Master of Science/Postgraduate Diploma in Science
The Dean of Science noted that this review had been discussed at length at the AAC. The review panel had suggested it be allowed to continue to be offered, but due to the lack of enrolments, the recommendation was overturned at AAC.

11 Master of Speech and Language Pathology
The GYR had taken place at the same time as the academic review (report to follow shortly) which allowed a thorough investigation into the area. The recommendation was for continuation.

12 Environmental Science endorsement in the BSc
The endorsement had been largely replaced by a major, so this endorsement would be discontinued. The GYR was undertaken to assure CUAP that the endorsement had been offered at an appropriate standard.

REVIEW: POSTGRADUATE CERTIFICATE IN ANTARCTIC STUDIES
The Dean of Science, Professor J Carter, introduced the report and thanked the panel for their work. The department welcomed the report and were already working on the recommendations.

ACADEMIC DRESS REGULATION
The Acting Registrar explained that this was a minor change to specify regalia requirements for holders of diplomas and certificates and outlining that the responsibility for procuring regalia for other institutions rests with the individual concerned.

REPORT FROM THE LIBRARY COMMITTEE
The Chair of the Library Committee introduced a paper following discussions at the previous meeting about how academic publishers are selling journals in packages, how subscription costs are rising and how university consortia are responding.

He raised the following issues:

- Much research at universities is paid for by public funding but the results are then locked up behind paywalls by publishers so it is not available in a free public domain;
- Currently the Library has a small fund of $15,000 per annum to support APC Open Access publishing, and there is increased demand worldwide for open access journals. However many Open Access journals require Article Processing Charges of up to $4,000 to publish. Should UC consider increasing this fund? Should the University be actively encouraging staff to publish in open access journals?
- PBRF and the UC promotion processes are both based on publishing in certain tiered journals so publishing in open access journals would have wider implications.

Comments from the floor included:

- There is a limit to what a single relatively small University can do to influence these international discussions. But UC would be in a good position to lead conversations in New Zealand and Australia in this area and help push public policy;
- If the University encourages more open access publishing then the assessment of what constitutes a quality publication will need to change. There should be a discussion on citation versus impact.
- Where will the money come from if there is a move to open access publishing – from the individual or their department or centrally? Could the charge be included in research funding applications?
- There may be an argument for intellectual property – who does an article belong to, the scholar or the publisher? If an article is published in a book, then the author receives some payment but if published in a journal, the publishers receive more of the profit than the author.
- There may be reputational consequences to the university if it moves towards open access publishing as the QS rankings are in part based on citations from papers published in journals covered by the SCOPUS database which tend to be the established journals.
- Any changes in access to journals will also affect our own students who will need access to what others have been publishing.
- There are concerns about future equity of access – for researchers in applied fields such as health and education, researchers want the public to be able to use the research findings.
- A Danish University has published a book which is online peer reviewed via open access. Could the University Press consider open access publishing to help with equity and pricing for books/texts?

The Chair thanked members and noted that there are many important and interconnected facets to the discussion. He suggested that the report be circulated to Colleges, the Research Committee and the Learning and Teaching Committee to continue the conversation.

Mrs Eleri Nugent
Acting Secretary
Te Poari Akoranga – Academic Board
15 October 2018

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Postgraduate Diploma in Journalism
Original Programme Identifier	UC/14PGDipJ.GradDipJ/1
Name of Self-Review Coordinator and position held	Alison Holcroft (Associate Dean of Arts)

1. PROGRAMME STATEMENT

(a) Description

The Postgraduate Diploma in Journalism replaced the previous Graduate Diploma in Journalism in 2014. The Diploma is a one year full-time qualification open to any graduate. It is capped at 20 students and entry is by application and interview. Candidates for whom English is a second language must provide evidence of IELTS or equivalent (Academic) 7.5 with no score less than 7. Students are required to pass all six courses. JOUR 401 *Researching and Writing News* (30 pts) is taught in the first semester; JOUR 402 *News Production* (30 pts) is taught in the second semester. The remaining four 15-point courses, JOUR 403 *Media Law and Ethics,* JOUR 404 *Journalism and Society*, JOUR 405 *Journalism Research* and JOUR 406 *Advanced Storytelling* are whole year courses. (But see note below).

(b) Achievement

The 2012 Proposal stated: "The overarching goal of the Postgraduate Diploma in Journalism, as with the Graduate Diploma in Journalism, is to produce critical-thinking, work-ready graduates for a wide range of journalism fields. This proposal does not seek to alter this goal other than to provide students with more opportunities to connect with industry and to further advance the analytical, problem-solving and critical thinking skills they will need as future leaders in journalism." The employability of the graduates and their advancement in their careers (see *Acceptability*) indicate that this goal has been achieved. However, given the situation in the industry, fewer graduates are seeking journalism qualifications, and enrolments have failed to reach the 20-student cap over the last two years.

(c) Changes

There have been two changes to the Postgraduate Diploma in Journalism, both implemented in 2018. (i) In the original proposal, a zero EFTS course JOUR 407 *Shorthand* offered. From 2018, this course has no longer been required. (ii) From 2018 JOUR 403 and JOUR 404 are being taught in the first semester and JOUR 405 and JOUR 406 in the second semester.

2. REVIEW PROCESSES

Account of Review Processes.

The Review Panel consisted of Associate-Professor Donald Matheson (COMS), Dr Tara Ross (COMS, Journalism Co-ordinator), Professor LindaJean Kenix (Head of School), Dr Alison Griffith (Dean of Arts), Dr Erik Brogt (Academic Development) and Alison Holcroft (Associate Dean/ Review Co-ordinator). The Panel met on one occasion to discuss the Review and reports prepared on the history of the Postgraduate Diploma and the careers of its graduates. Alison Holcroft met separately with Professor LindaJean Kenix and Dr Erik Brogt who were unable to attend the meeting. Feedback was also sought from Associate-Professor Thomas Wilson, programme co-ordinator for the Master of Disaster, Risk and Resilience. This review was then prepared by Alison Holcroft and circulated to panel members for comment and emendation.

3. REVIEW OUTCOMES

(a) Acceptability

Graduates from the Postgraduate Diploma in Journalism are much sought after by the industry right across the country and those who have been in the workforce for one or two years, are regularly headhunted for higher level positions. It is a measure of the success of the Diploma that vast majority of graduates can be located by a simple Google search. Of the twenty 2015 graduates, seventeen found immediate employment in journalism or closely related areas (e.g. M.P.'s press secretary, media manager for Christchurch City Council); of the three remaining students, one failed the Diploma, one chose another career and a third had done the Diploma while waiting to be accepted in the police force. Of the seventeen 2016 graduates, fifteen found immediate employment in journalism or closely related areas (e.g. social media co-ordinator for the Canterbury branch of the UN Association; PR advisor for Tourism New Zealand). Of the two remaining graduates one went overseas, and the other was unable to work for health reasons. Of the 2017 graduates, seven found immediate employment in journalism or closely related areas; of the two remaining students, one is overseas, one is unwell. It should be noted that even a non-graduate, who failed a course for the Diploma in 2017, found work in an associated area. In many cases students obtain jobs before the end of the academic year. It is clear that the qualification is both recognised and valued by the industry. Graduates have regularly been finalists in Canon Media Awards and the Voyager Media Awards. In addition, Brook Hobson (2015) and Megan Sutherland (2017) received an Asia NZ Foundation scholarship and Meena Amso (2016) a Science Media Scholarship.

It should be noted that the quality of the Diploma's students is also emphasized by Associate-Professor Tom Wilson, programme co-ordinator for the Master of Disaster, Risk and Resilience. Each year journalism students join with students from the Master's programme in a disaster communication simulation developed by Dr Ross, Dr Brogt and Associate-Professor Wilson. (This collaboration won a UC Teaching Award in 2016.) In this exercise journalism students take on the role of various national and regional new agencies, and are required to work with those 'managing' the disaster and communicate complex science and key information for the public and government agencies – both through the more traditional outlets and (this year) through social media. Associate-Professor Wilson has high praise for the value of this exercise – in particular the contribution of Dr Ross – and the professionalism of the journalism students. A journalism graduate, on duty at the time of the Cook Strait earthquakes, has remarked that, thanks to this exercise, they knew exactly what to do and were able to co-ordinate the activities of the newsroom.

(b) Assessment and Moderation Procedures

Course grades are moderated each year by the Journalism Board of Studies which is made up of UC academic staff and external industry members. Until 2017, detailed course marking was moderated externally through the Competenz ITO-run moderation process. In 2017, external moderation was conducted with Ara's NZ Broadcasting School; from 2018, it will be conducted through a Journalism Education Association of NZ-run industry moderation process.

(c) Data

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	20	20	-	20	19	-
2016	17	17	-	17	17	-
2017	10	10	-	10	9	-

Comment: Enrolments in Journalism programmes are dwindling countrywide and a number of institutions have closed their journalism programmes – both at sub-degree level (NQF Levels 1-4) and university level (NQF Levels 5 and above). The Media and Communication Department intends to teach the Postgraduate Diploma for the last time in 2019 and replace it with a major within the new Bachelor of Communication.

(d) Programme Evaluation and Review

The Postgraduate Diploma in Journalism have proved satisfactory to the industry – as evidenced by the steady demand for graduates and their progress in their careers. It is also well respected within the University (see above). The Panel was satisfied that the Diploma was producing "critical-thinking, work-ready graduates for a wide range of journalism fields" with the potential to become "future leaders in journalism" (see the Goals section of the 2012 Proposal) and that the graduates met the attributes of the graduate profile (see below). However, the decline in journalism enrolments (at UC and countrywide) has put pressure on staffing, in particular the requirement for professional tutors to teach the skills required by industry. This raised a question as to the sustainability of the Diploma. It was also noted that, while the best students were excellent, the decline in the number of applications meant that some students at the lower end of the class might not have been accepted previously. After consultation with the industry and students (including the possibility of a 180-point Master's), the Department has moved to incorporate a limited-entry journalism major within the new Bachelor of Communication (open for enrolments in 2019). Graduates with any undergraduate degree will still to be able to train for journalism via a Graduate Diploma in Communication which will be developed over the next year.

(e) Continuation or Discontinuation

The Postgraduate Diploma in Journalism will be taught for the last time in 2019. The Panel noted that its discontinuation is in no way a reflection of the quality of the programme or the value placed on it by stakeholders.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the meeting and answered questions.

The Academic Administration Committee agreed with the recommendation that the discontinuation of the Postgraduate Diploma in Journalism be submitted to CUAP in 2019.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Honours Programme in Digital Humanities
Original Programme Identifier	(06) UC/12 BA(Hons)/1
Name of Self-Review Coordinator and position held	Associate-Professor Donald Matheson

1. PROGRAMME STATEMENT

(a) Description

The Digital Humanities Honours programme outlined in the 2012 Proposal, was open to all students who completed an undergraduate degree with a B average in their 300-level courses. The programme, as outlined in the proposal, contained three courses: DIGI *401 Introduction to Digital Humanities*; DIGI 402 *The Digital Modern: Humanities and New Media*; DIGI 480 *Research Essay*. Students were required to take DIGI 480 and at least one of DIGI 401 and DIGI 402, but it was expected that most candidates would enrol in all three courses and take a fourth course from another Honours programme. Co-supervision of the DIGI 480 research essay with other disciplines was to be encouraged.

The DIGI Honours programme was offered for the first time in 2013. However there were no enrolments until 2015. This Review covers the years 2015 - 2017.

(b) Achievement

The goals in the 2012 Proposal envisaged an Honours programme that comprised a cohesive set of Honours level courses and offered Humanities graduates the opportunity to build on the traditional skills they had gained from their undergraduate studies, with both theoretical and applied components. Co-supervision with other disciplines was to be encouraged. It was also envisaged that the programme would be extended. Two further courses (*Applied Digital Humanities*, and *Directed Reading and Writing*) were to be offered as the programme was rolled out, and the Proposal noted that discussions were being held with the English and History programmes about the introduction of courses in *Digital Literary Studies* and *Digital History.*

These goals have been achieved to a considerable extent, but in a way somewhat different from that envisaged in the Proposal. There has been only one graduate from the Honours Programme - an English graduate who enrolled in DIGI 401, DIGI 480, ENGL 444 and ARTS 495. (The graduate went on to study for a Master of Information Science at VUW.) However, further 400-level courses have been added and there has been considerable interaction with other Departments within the College of Arts and beyond.

- DIGI 403 *Digital Project*, introduced in 2015, has attracted students enrolled in a number of Honours programes (Art History, Media and Communication, History, Engish and Classics) as well as students from the M.WRIT and the M.Strategic Communication. In each case the project was co-supervised by the DIGI co-ordinator and an academic from the student's department.
- A student who had graduated with a Master of Human Interface Technology, enrolled in DIGI 401 and DIGI 403 for a Postgraduate Certificate of Proficiency.

- Since 2017 DIGI courses have also been the basis for the Matahiko endorsement for the Master of te reo Māori (DIGI 403, DIGI 404, DIGI 405, TREO 407).
- DIGI 401 *Introduction to Digital Humanities* was split into two separate courses (DIGI 404, DIGI 405) in 2017. DIGI 405 has become a core part of the Master of Applied Data Science taught by Maths and Statistics, where it acts as a point of difference with other programmes in Australasia and contributes to the employability of graduates. Maths and Statistics are keen to have DIGI 405 offered in both semesters in 2019 and have indicated that they would like further DIGI courses for the MADS programme.
- DIGI 404 and DIGI 405 have also attracted enrolments from Honours students in Engilsh and Classics, and a PhD student in COMS.

While the Programme as a whole has not attracted enrolments, it has certainly been successful in assisting humanities graduates to extend their skill sets and in making connections across the College of Arts and the wider University. Individual courses from the Progamme have been extremely successful and play an important part in other programmes.

(c) Changes to the programme

The programme was developed and introduced by Dr James Smithies. When Dr Smithies left the University at the end of 2015, he was replaced by Dr Christopher Thomson, previously the manager of the CEISMIC programme. The programme has undergone a number of changes.

May 2014 Introduction of DIGI 403 *Digital Project*: This course was designed to complement existing Honours courses across the College of Arts and other Arts-oriented areas of the university. Since all students in the course would have two supervisors, one from DIGI and one from the academic discipline connected with the project, it was envisaged that staff members would have the opportunity to augment their own understanding of digital methods and practices.

November 2014: Changes to the structure of the Honours Programme:

- DIGI 401 was renamed DIGI 401 *Digital Methods* and became the core course for the programme;
- Students were also required to do at least one course from DIGI, 402, DIGI 403, DIGI 480;
- Up to two courses might be selected from other Honours programmes.

2017: DIGI 404 and DIGI 405: DIGI 401 (30 pts) was replaced by two 15-point courses DIGI 404 *Digital Research Methods 1* (taught in S1) and DIGI 405 *Digital Research Methods 2* (taught in S2. This change was made to facilitate the incorporation of DIGI 405 into the Master of Applied Data Science programme – while keeping both courses available to students enrolled in DIGI Honours. DIGI 405 now has a permanent place in the Master of Applied Data Science.

2. REVIEW PROCESSES

Account of Review Processes.

The Review Panel consisted of Associate-Professor Donald Matheson (COMS), Dr Christopher Thomson (DIGI), Professor Paul Millar (Head of HACA), Dr Alison Griffith (Dean of Arts), Dr Erik Brogt (Academic Development) Liz Bond (Academic Manager), Professor Jennifer Brown (HoD Maths and Statistics) and Alison Holcroft (Associate Dean). Associate-Professor Matheson chaired the Panel and Alison Holcroft provided data and administrative support. The Panel met on two occasions to discuss the material presented. This review was then prepared by Alison Holcroft and circulated to panel members for comment and emendation.

3. REVIEW OUTCOMES

(a) Acceptability

It is not possible to assess the acceptability of the Honours programme from the single enrolment. (The Panel has not been able to contact the graduate but they are believed to be doing a Master of Information Science at Victoria University.) However, courses within the programme are very highly rated by the Departments using them. History students commonly do DIGI 403 as part of their Honours programme and Professor Jennifer Brown (HoD Mathematics and Statistics, Co-ordinator for Data Science) has stressed the importance of DIGI 405 to the Master of Applied Data Science and would like to see more DIGI courses could be incorporated in the Programme. (In 2018, 42 students from the Master of Applied Data Science are enrolled in DIGI 405/DATA 471.)

(b) Assessment and Moderation Procedures

There is a diverse range of assessment. For DIGI 403 assessment comprises a project plan, the digital project itself and a major essay that contextualizes the project, discusses technical issues, locates it in its digital and disciplinary context(s), and critically analyses its relationship to broader scholarly discourse. DIGI 404 and 405 include seminar presentations and online research notebooks as well as written assignments. There has been only one full Honours enrolment. It is difficult to organize moderation because there is no similar programme in New Zealand. However, students enrolled in DIGI courses as part of other Honours programmes, have their work moderated in their majoring subject.

(c) Data

I. **Enrolments in the Honours programme:** There has been only one enrolment and one graduate from the DIGI Honours programme – enrolled in the first semester of 2015 and 2016.

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	1	-	1	0.5	1	-
2016	1	-	1	0.5	1	-
2017	-	-	-	-	-	-

II. Enrolments in individual courses:

	DIGI 480 .025 EFTS	DIGI 401 0.25 EFTS	DIGI 402 0.25 EFTS	DIGI 403 0.25 EFTS	DIGI 404 0.1250 EFTS	DIGI 405 0.1250 EFTS
2013	-	-	-			
2014	-	-	-			
2015	-	2	-	***New Course*** 2		
2016	1	3	-	1		
2017	-		--	5	***New Course*** 3	***New Course*** 16

(d) Programme Evaluation and Review

The Panel concluded that the Programme was sound, with quality courses, but had problems attracting students, in part because there was no undergraduate major in the field. The panel expressed concern that the Programme was supported by only one staff member who was responsible for both undergraduate and postgraduate courses and also taught into a number of other courses both within the College and across the University. There was concern that, with the high teaching load, the Programme co-ordinator had little chance to develop his own research and allow this to feed back into his teaching. Panel members were

concerned about the sustainability of the programme in its current form but were emphatic about the need to continue with the 400-level courses which are becoming increasingly important to postgraduate programmes in the College of Arts and the wider University. It was noted that the College of Arts Postgraduate Committee is currently examining Honours programmes but that their conclusions will not be available for some time. Were the Honours programme to continue, Dr Thomson would be keen to update the graduate profile.

(e) Continuation or Discontinuation

After considerable discussion, the Panel recommended that the DIGI Honours programme should be suspended. However, individual courses from the programme (in particular DIGI 403, DIGI 404, DIGI 405) will continue to be available to students.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the meeting and answered questions. The committee agreed that the range of DIGI courses was valuable but that the Bachelor of Arts (Honours) in Digital Humanities had not proved attractive to students. The College of Arts is undertaking a review of the BA(Hons) degree and will consider how to make best use of DIGI courses.

The Academic Administration Committee agreed with the recommendation that the subject of Digital Humanities in the Bachelor of Arts with Honours be suspended from 2019.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Master of Business Management (MBM)
Original Programme Identifier	01 UC/13 MBM/1
Name of Self-Review Coordinator and position held	Dr Neil Crombie, Lecturer in Accounting and Master of Financial Management Coordinator

1. PROGRAMME STATEMENT

(a) Description

The Master of Business Management (MBM) degree is a 180-point conversion taught master's degree. It equips graduates with the skills (e.g. analytical thinking, communication and researching) and knowledge and competencies that are expected by employers of business graduates. The MBM Programme consists of a range of general business courses (accounting, business law, business research methods, economics and finance) and specialist management courses (marketing, leadership, people management and either entrepreneurship or business strategy) as well as applied research in the form of a project or internship. There have been no major changes since the MBM Programme was introduced. CUAP raised no concerns regarding the MBM Programme at the time of approval.

(b) Achievement

The goals of the MBM Programme, as outlined in the original CUAP proposal, were: "to provide students from non-commerce backgrounds with the skills, knowledge and competencies to engage and actively participate in business and commerce at the postgraduate level. The main goal of the MBM programme is to equip students with generalist knowledge and skills in business management, which will enable them to understand the connections between the various disciplines in commerce and apply this knowledge to practice. Graduates will be able to provide academically sound and practically relevant solutions to a range of issues that organisations face. Further, graduates will develop advanced analytical, problem-solving and critical thinking skills that will enable them to challenge existing practice and position themselves as the future leaders in business."

The MBM programme has met these goals as (1) the qualification is accredited by AACSB; (2) the assurance of learning process encourages academics delivering the courses to reflect on student achievement and aim for continuous improvement in course delivery, which help ensure the programme remains relevant to industry; (3) all graduates have completed applied research with the vast majority undertaking their research at an organisation with an office in Christchurch; (4) the requirements of this applied research include that a substantial body of academic and professional literature is reviewed and the theoretical and practical implications of the research as discussed in the outputs (e.g. a report); and (5) graduates work in a range of organisations such as banks, consultancy firms and private and public companies (although we do need to improve our tracking of graduate employment outcomes[1]).

[1] The University's 2016 Graduate Destination Survey showed that 93% of business graduates are employed. Informal tracking of MBM graduates (e.g. via Linkedin) shows that MBM graduates are working in a wide range of organisations.

(c) Changes

1. In 2015, the English language requirement changed from an IELTs of 7.0 and no section less than 6.5 to an IELTS of 6.5 and no section less than 6.0. This brought the requirements in line with most other postgraduate programmes at the university and in line with other NZ universities.
2. From 2014 to mid-2016, the entry criteria for MBAZ680: Research Project and MBAZ681: Internship was stated as subject to director approval. This was not informative. Since mid-2017, students are informed that they need a B average or better (GPA 6.0+) in their courses to date to enrol in MBAZ680, and an A- average or better (GPA 7.0+) in their courses to date to enrol in MBAZ681.
3. From 2014 to mid-2017, the University of Canterbury had restrictive entry criteria where international students with undergraduate degrees in the same discipline as the taught master's degree in which they were applying to enrol were not permitted to enrol. Other NZ universities did not have such as restrictive policy. Since late 2017, this restriction was removed.

2. REVIEW PROCESSES

Account of Review Processes.

The review process is: (1) the Dean of Business appointed a GYR panel and invites students and graduates to meet with the panel; (2) the panel appoints a chair and then reviews the relevant documentation[2] and meets with students and graduates; (3) the panel prepares a report; (4) the report is reviewed and approved by the Business School's Board of Studies, the College of Business and Law's College Meeting, the University's Academic Administration Committee and finally, the University's Academic Board.

The panel is comprised of:

- **Chair**: Dr Neil Crombie, Lecturer in Accounting, Master of Financial Management Programme Coordinator, and formerly MBM and MPA project and internship coordinator (2014-2017)
- Dr Julia Wu, Lecturer in Accounting and MPA Programme Coordinator
- Dr Christian Walsh, Lecturer in Design Thinking and contributor to the MBA and MBM Programmes
- Dr Bruce Manley, Head of Forestry Department
- Professor Jake Rose, Oregon State University, USA (Erskine visitor)
- Professor Cory Searcy, Ryerson University, Canada (Erskine visitor)

3. REVIEW OUTCOMES

(a) Acceptability

The MBM Programme is relevant to the academic, industrial and professional communities for several reasons: (1) 93% of business graduates are employed; (2) AACSB accredit the MBM programme; (3) the Business School has establish ongoing relationships with many organisations operating in Christchurch (e.g. CDHB, City Care, Kiwicare, Ravensdown, etc.), which have been keen to offer projects and internships to MBM students; (4) the vast majority of students meet or exceed expectations as they undertaken their applied research (see Table 1); and (5) student feedback from course surveys (see Table 2) and the focus group (5 students and 2 graduates) that met the panel was very positive.

Table 1: Assurance of Learning Results

Year	Learning Goal 1: Theory			Learning Goal 2: Literature			Learning Goal 3: Research			Learning Goal 4a: Oral Comm.			Learning Goal 4b: Written Comm.		
	B	M	E	B	M	E	B	M	E	B	M	E	B	M	E
2014	4%	40%	56%	13%	29%	58%	2%	40%	58%	2%	46%	52%	2%	33%	65%
2015	10%	65%	25%	15%	59%	26%	0%	47%	53%	6%	47%	47%	65	52%	42%
2016	0%	46%	54%	0%	46%	54%	5%	24%	71%	1%	55%	44%	5%	29%	66%

[2] This included the CUAP proposal, Graduate Profile (see Appendix 1), assurance of learning rubrics and results, student feedback (from course surveys) and grades (pass rates and grade distribution by course; see Appendix 2).

2017	0%	70%	30%	0%	70%	30%	0%	73%	27%	0%	58%	42%	0%	58%	42%

Key: B = Below expectations; M = Meets expectations; E = Exceed expectations

Table 2: Student Feedback – Survey Results

Year	Subject (No. of Courses)	Response Rate	Mater-ials	Organ-ised	Inter-esting	Work-load	Partici-pation	Assess-ment	Feed-back	Quality Course
2014	General (4)	39%		4.2	4.0	4.2	4.1	3.9	4.0	4.1
	Specialised (2)	40%		4.7	4.8	4.8	5.0	4.6	5.0	4.7
2015	General (4)	37%		4.3	4.2	3.9	4.1	3.9	4.1	4.2
	Specialised (3)	44%		4.4	4.1	4.1	4.1	3.8	4.0	4.2
2016	General (1)	54%	4.2	4.0		4.0		3.6	3.8	
	Specialised (2)	42%	4.3	4.2		4.4		4.2	4.0	
2017	General (6)	65%	4.4	4.3		4.1		4.2	4.1	
	Specialised (6)	60%	4.3	4.3		4.4		4.2	4.2	

Note: For each survey item, students rate their courses on 5-point Likert scale from strongly disagree (1) to strongly agree (5)

(b) Assessment and Moderation Procedures

Student achievement as measured by grades has been very high (see Appendix 2, Table 4) with an average grade of B+ in the research project (MBAZ680) and an average grade of A-/A in the internship (MBAZ681). While there is no external moderation of assessment in the courses, all assessments are internally moderated by staff within the UC Business School.

(c) Data

There has been a decline in enrolments in the MBM Programme from 2015 to 2017 (see Table 3). This is because an increasing proportion of students who initially enrol in the MBM have transferred to the Postgraduate Diploma in Business (PGDipBus). Note that students that do not meet the entry criteria for the project/internship will transfer from the MBM to PGDipBus. Further, while there appears to be a balance of domestic and international students enrolled in the MBM Programme and this mix is skewed towards international students when the PGDipBus enrolments are considered.

Table 3: Student enrolments and completions

Year	Actual No. Enrolled			Full-time			Part-time			EFTS			No. Completed			Withdrawals		
	All	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF
2015	**73**	36	38	**55**	20	35	**18**	15	3	**53.1**	22.1	31.0	**32**	20	12	**0**	0	0
2016	**54**	27	27	**52**	25	27	**2**	2	0	**52.0**	26.3	25.7	**34**	17	17	**0**	0	0
2017	**58**	28	30	**55**	26	29	**2**	1	1	**43.5**	24.7	18.9	**12**	3	9	**2**	1	1

Key: Dom = Domestic students; and FF = Full fee or international students

(d) Programme Evaluation and Review

No substantive changes to the MBM Programme are planned in the next few years. However, the Panel does recommend that (1) domestic students be targeted to improve the student diversity; (2) marketing materials provided to international students must clearly state the project/internship grade hurdle; (3) further support should be provided to students to reduce the number transferring to the PGDipBus; and (4) graduates should be asked to complete an exit survey, so that their career paths can be followed. This could possibly be a graduating requirement.

(e) Continuation or Discontinuation

The review panel recommends that the Master of Business Management continue to be offered.. The Panel recommends that the programme's marketing could be improved (as noted in part d). The next review will be in 2020.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel was present to answer questions. The AAC asked questions about the movement of students

to the PG Diploma in Business (separate GYR). There are a number of reasons for this including the entry criteria for the level 9 component but some are taking the 120 point diploma for financial reasons.

The Academic Administration Committee agrees with the recommendation of the panel that the Master of Business Management be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Postgraduate Diploma in Business
Original Programme Identifier (Academic Services will provide)	
Name of Self-Review Coordinator and position held	Dr Neil Crombie, Lecturer in Accounting and Master of Financial Management Programme Coordinator

1. PROGRAMME STATEMENT

(a) Description

The original purpose of the Postgraduate Diploma in Business (PGDipBus) was to provide an exit qualification for Master of Business Management (MBM) and Master of Professional Accounting (MPA) students that could not or chose not to complete their master's degree. Further, with the introduction of the Master of Financial Management (MFM) in late 2017, the PGDipBus is also an entry and exit qualification for the MFM. The flexibility of the PGDipBus programme makes it an attractive qualification. To be awarded the PGDipBus, students only need to complete eight courses or 120 points. This has meant that the PGDipBus has become a standalone qualification as well as remaining an entry and exit qualification for the MBM and MPA. PGDipBus graduates may be business generalists or specialists in management, finance or accounting, giving them a range of career options. Students can tailor their programme of study to subjects that reflects their career interests.

(b) Achievement

The PGDipBus provides the skills and competencies that will allow graduates to gain employment within the private and public sector in relevant business positions. It also provides a pathway to the MBM and MPA programmes. As one of the qualifications available within the Executive Development Programmes, students will gain business experience, professional skills and industry connections within a short timeframe, and no previous background in business is required. Graduates will gain the confidence to challenge existing commercial practice and participate in the development of new and innovative business strategies.

The goals of the PGDipBus have been met because (1) 93% of business graduates are employed[1]; (2) the assurance of learning process encourages academics delivering the courses to reflect on student achievement and aim for continuous improvement in course delivery, which help ensure the programme remains relevant to industry; (3) the flexibility in the course selection allows graduates to gain the skills and knowledge that is most relevant to them and the career opportunities they wish to pursue; and (4) students are given opportunities to interact with local businesspeople and other professionals (e.g. almost all courses have guest speakers from industry and there is a CEO seminar series that students can

[1] The University's 2016 Graduate Destination Survey showed that 93% of business graduates are employed. Informal tracking of PGDipBus graduates (e.g. via Linkedin) shows that these graduates are working in a wide range of organisations.

attend).

(c) Changes

1. In 2015, the English language requirement changed from an IELTs of 7.0 and no section less than 6.5 to an IELTS of 6.5 and no section less than 6.0. This brought the requirements in line with most other postgraduate programmes at the university and in line with other NZ universities.
2. From 2014 to mid-2017, the University of Canterbury had restrictive entry criteria where international students with undergraduate degrees in the same discipline as the taught master's degree in which they were applying to enrol were not permitted to enrol. Other NZ universities did not have such a restrictive policy. Since late 2017, this restriction was removed.
3. In 2017, the MFIN courses (part of the MFM programme) were added to the schedule for the PGDipBus. This meant students had greater choice of courses.

2. REVIEW PROCESSES

Account of Review Processes.

The review process is: (1) the Dean of Business appointed a GYR panel and invites students and graduates to meet with the panel; (2) the panel appoints a chair and then reviews the relevant documentation[2] and meets with students and graduates; (3) the panel prepares a report; (4) the report is reviewed and approved by the Business School's Board of Studies, the College of Business and Law's College Meeting, the University's Academic Administration Committee and finally, the University's Academic Board.

The panel is comprised of:

- **Chair**: Dr Neil Crombie, Lecturer in Accounting, Master of Financial Management Programme Coordinator, and formerly MBM and MPA project and internship coordinator (2014-2017)
- Dr Julia Wu, Lecturer in Accounting and MPA Programme Coordinator
- Dr Christian Walsh, Lecturer in Design Thinking and contributor to the MBA and MBM Programmes
- Dr Bruce Manley, Head of Forestry Department
- Professor Jake Rose, Oregon State University, USA (Erskine visitor)
- Professor Cory Searcy, Ryerson University, Canada (Erskine visitor)

3. REVIEW OUTCOMES

(a) Acceptability

As the PGDipBus is an entry and exit qualification for both the MBM and MPA, the GYR for those qualifications should be considered here. Evidence is provided in those GYR to show that the courses that constitute the PGDipBus are relevant to academic, industrial and professional communities.

(b) Assessment and Moderation Procedures

While there is no external moderation of assessment in the courses, all assessments are internally moderated by staff within the UC Business School.

Student results are shown in Appendix 2, Table 2 below. Compared to student results from the MBM and MPA, PGDipBus student results are significantly lower. This is because the PGDipBus is an exit qualification for many students. Upon failing to meet the hurdle to continue onto the project or internship, students will transfer to the PGDipBus. For instance, C-range grades are far more common

[2] This included the CUAP proposal, Graduate Profile (see Appendix 1), assurance of learning rubrics and results, student feedback (from course surveys) and grades (pass rates and grade distribution by course; see Appendix 2).

than A-range grades.

Note that for the MBM and MPA, assurance of learning occurred entirely in the assessment of MBAZ680 and MBAZ681. As these courses are not part of the PGDipBus, no assurance of learning has been carried out thus far. From 2018 onwards, this will be rectified as assurance of learning will now occur across a number of courses within the MBM, MPA and PGDipBus programmes.

(c) Data

For the executive development programmes, the most substantial growth in enrolments has come from the PGDipBus (see Table 1). These enrolments are almost entirely international students. The problem here is that, mostly, these students are not meeting the grade hurdle to progress onto the project or internship in the MBM and MPA programmes. They want to complete a master's degree, but are only able to complete a PGDipBus. At present, the leadership team for these qualifications is considering options for how to better support these students, so that a greater proportion are able to complete a master's degree.

Table 1: Student enrolments and completions

Year	Actual No. Enrolled			Full-time			Part-time			EFTS			No. Completed			Withdrawals		
	All	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF
2015	**7**	0	7	**7**	0	7	**0**	0	0	**4.6**	0	4.6	**5**	1	4	**0**	0	0
2016	**35**	0	35	**35**	0	35	**0**	0	0	**25.8**	0	25.8	**18**	2	16	**0**	0	0
2017	**46**	4	42	**43**	2	41	**3**	2	1	**31.8**	2.5	29.3	**39**	2	37	**0**	0	0

Key: Dom = Domestic students; and FF = Full fee or international students

(d) Programme Evaluation and Review

No substantive changes to the PGDipBus Programme are planned in the next few years. However, the Panel does recommend that (1) domestic students be targeted to improve the student diversity; (2) marketing materials provided to international students must clearly state the project/internship grade hurdle; (3) further support should be provided to students to reduce the number transferring to the PGDipBus; and (4) graduates should be asked to complete an exit survey, so that their career paths can be followed. This could possibly be a graduating requirement.

(e) Continuation or Discontinuation

The panel recommends that the University of Canterbury continue to offer the Postgraduate Diploma in Business. The Panel recommends that the programme's marketing could be improved (as noted in part d). The next review will be in 2020.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the meeting and answered questions. He was asked about the additional support referred to in the evaluation. There is now a dedicated person to advise students who is also working to upskill lecturers to identify at risk students and to help them going forward. They are also looking at on-line assistance to help integrate students into some courses.

The Academic Administration Committee agreed with the recommendation that the Postgraduate Diploma in Business be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Master of Professional Accounting (MPA)
Original Programme Identifier	02 UC/13 MPA/1
Name of Self-Review Coordinator and position held	Dr Neil Crombie, Lecturer in Accounting and Master of Financial Management Programme Coordinator

1. PROGRAMME STATEMENT

(a) Description

The Master Professional Accounting (MPA) degree is a 240-point conversion taught master's degree. Upon completion of the degree, graduates will be eligible for provisional membership with CAANZ, CPA Australia and ACCA.[1] These bodies periodically review the curriculum to ensure that graduates are work-ready. The MPA programme provides students with skills (e.g. analytical thinking, communication and researching) and knowledge in business and accounting, so that they well-prepared for entry-level accounting roles. CUAP raised no concerns regarding the MPA programme at the time of approval.

(b) Achievement

The MPA programme's stated goals, as outlined in the original CUAP proposal, were: "[the MPA programme] will provide graduates with the skills, knowledge and competencies to be a highly effective contributing accountant to organisations both domestically and internationally. They will obtain the required qualifications to gain provisional membership into NZICA's College of Chartered Accountants and CPA Australia. The research project or the internship will provide graduates with an opportunity to utilise the knowledge gained within the programme and apply it to real work problems and situations. This will present them with an opportunity to not only prove their skill in the area under consideration but interact with external stakeholders in a professional and an industry relevant environment. Through academic research graduates will gain an understanding of the theoretical considerations facing the profession of accounting as well as gaining the confidence to challenge existing practice and participate in the development of new and innovative ways to solve issues in the field of accounting."

The MPA programme has met these goals as (1) the qualification is accredited by ACCA, CAANZ and CPA Australia; (2) accreditation with these bodies ensures that the curriculum is up-to-date and relevant to industry; (3) all graduates have completed applied research with the vast majority undertaking their research at an organisation with an office in Christchurch; (4) the requirements of this applied research include that a substantial body of academic and professional literature is reviewed and the theoretical and practical implications of the research as discussed in the outputs (e.g. a report); and (5) graduates work in a range of organisations including well-known accountancy firms and companies (although we do need to improve our tracking of graduate employment outcomes[2]).

[1] CAANZ stands for Chartered Accountants of Australia and New Zealand (formerly, NZICA or New Zealand Institute of Chartered Accountants). ACCA stands for Association of Chartered Certified Accountants; this is a UK based professional accounting body.
[2] The University's 2016 Graduate Destination Survey showed that 93% of business graduates are employed.

(c) Changes

1. In 2015, the English language requirement changed from an IELTs of 7.0 and no section less than 6.5 to an IELTS of 6.5 and no section less than 6.0. This brought the requirements in line with most other postgraduate programmes at the university and in line with other NZ universities.
2. From 2014 to mid-2016, the entry criteria for MBAZ680: Research Project and MBAZ681: Internship was stated as subject to director approval. This was not informative. Since mid-2017, students are informed that they need a B average or better (GPA 6.0+) in their courses to date to enrol in MBAZ680, and an A- average or better (GPA 7.0+) in their courses to date to enrol in MBAZ681.
3. In 2017, MPAC607: Information Systems was replaced with MBIS601: Management of Information Systems as a required course. This was not a change in content, but a move to gain economies in teaching by combining MPA and Master of Business Information Systems students into one course.
4. From 2014 to mid-2017, the University of Canterbury had restrictive entry criteria where international students with undergraduate degrees in the same discipline as the taught master's degree in which they were applying to enrol were not permitted to enrol. Other NZ universities did not have such as restrictive policy. Since late 2017, this restriction was removed.

2. REVIEW PROCESSES

Account of Review Processes.

The review process is: (1) the Dean of Business appointed a GYR panel and invites students and graduates to meet with the panel; (2) the panel appoints a chair and then reviews the relevant documentation[3] and meets with students and graduates; (3) the panel prepares a report; (4) the report is reviewed and approved by the Business School's Board of Studies, the College of Business and Law's College Meeting, the University's Academic Administration Committee and finally, the University's Academic Board.

The panel is comprised of:

- **Chair**: Dr Neil Crombie, Lecturer in Accounting, Master of Financial Management Programme Coordinator, and formerly MBM and MPA project and internship coordinator (2014-2017)
- Dr Julia Wu, Lecturer in Accounting and MPA Programme Coordinator
- Dr Christian Walsh, Lecturer in Design Thinking and contributor to the MBA and MBM Programmes
- Dr Bruce Manley, Head of Forestry Department
- Professor Jake Rose, Oregon State University, USA (Erskine visitor)
- Professor Cory Searcy, Ryerson University, Canada (Erskine visitor)

3. REVIEW OUTCOMES

(a) Acceptability

The MPA Programme is relevant to the academic, industrial and professional communities for several reasons: (1) 93% of business graduates are employed[2]; (2) ACCA, CAANZ and CPA Australia periodically review and accredit the MPA programme; (3) the Business School has establish ongoing relationships with many organisations operating in Christchurch (e.g. Christchurch Community Accounting, Christchurch Casino, Fulton Hogan, Ravensdown, etc.), which have been keen to offer projects and internships to MPA students; (4) the vast majority of students meet or exceed expectations as they undertaken their applied research (see Table 1); and (5) student feedback from course surveys (see Table 2) and the focus group (5 students and 2 graduates) that meet the panel was very positive.

Table 1: Assurance of Learning Results

[3] This included the CUAP proposal, Graduate Profile (see Appendix 1), assurance of learning rubrics and results, student feedback (from course surveys) and grades (pass rates and grade distribution by course; see Appendix 2).

Year	Learning Goal 1: Theory			Learning Goal 2: Literature			Learning Goal 3: Research			Learning Goal 4a: Oral Comm.			Learning Goal 4b: Written Comm.		
	B	M	E	B	M	E	B	M	E	B	M	E	B	M	E
2015	9%	62%	29%	25%	51%	24%	3%	37%	60%	0%	53%	47%	5%	36%	59%
2016	9%	47%	44%	4%	51%	45%	3%	39%	58%	3%	46%	51%	6%	46%	48%
2017	0%	41%	59%	0%	41%	59%	0%	56%	44%	0%	0%	100%	0%	56%	44%

Key: B = Below expectations; M = Meets expectations; E = Exceed expectations

Table 2: Student Feedback – Survey Results

Year	Subject (No. of courses)	Response Rate	Mater-ials	Organ-ised	Inter-esting	Work-load	Partici-pation	Assess-ment	Feed-back	Quality Course
2014	Business (3)	38%		4.3	4.0	4.2	4.1	3.8	4.1	4.1
	Accounting (5)	46%		3.5	3.7	3.8	4.1	3.6	3.3	3.8
2015	Business (3)	35%		4.2	4.1	3.8	4.1	3.8	4.2	4.1
	Accounting (6)	27%		4.2	4.0	3.7	4.0	3.7	3.4	3.9
2016	Business (3)	60%	4.4	4.3		4.2		4.1	4.2	
	Accounting (1)	60%	3.7	3.0		3.1		3.8	2.5	
2017	Business (7)	63%	4.3	4.2		4.1		4.1	4.1	
	Accounting (6)	68%	4.6	4.3		4.2		4.3	4.1	

Note: For each survey item, students rate their courses on 5-point Likert scale from strongly disagree (1) to strongly agree (5)

(b) Assessment and Moderation Procedures

Student achievement as measured by grades has been very high (see Appendix 2, Table 4) with an average grade of B/B+ in the research project (MBAZ680) and an average grade of A-/A in the internship (MBAZ681). While there is no external moderation of assessment in the courses, all assessments are internally moderated by staff within the UC Business School.

(c) Data

There has been no enrolment growth in the MPA Programme from 2015 to 2017 (see Table 3). This is because an increasing proportion of students who initially enrol in the MPA have transferred to the Postgraduate Diploma in Business (PGDipBus). Note that students that do not meet the entry criteria for the project/internship will transfer from the MPA to PGDipBus. Further, there are now more international students than domestic students enrolled in the MPA Programme and this mix is further exaggerated because PGDipBus enrolments are almost exclusively international students.

Table 3: Student enrolments and completions

Year	Actual No. Enrolled			Full-time			Part-time			EFTS			No. Completed			Withdrawals		
	All	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF	**All**	Dom	FF
2015	**75**	43	32	**71**	39	32	**4**	4	0	**63.2**	33.0	30.2	**22**	19	3	**0**	0	0
2016	**81**	38	43	**56**	25	31	**25**	13	12	**54.4**	25.7	28.7	**32**	16	16	**0**	0	0
2017	**72**	30	42	**56**	22	34	**15**	7	8	**52.0**	22.1	29.9	**22**	9	13	**0**	0	0

Key: Dom = Domestic students; and FF = Full fee or international students

(d) Programme Evaluation and Review

No substantive changes to the MPA Programme are planned in the next few years. However, the Panel does recommend that (1) domestic students be targeted to improve the student diversity; (2) marketing materials provided to international students must clearly state the project/internship grade requirement; and (3) further support should be provided to students to reduce the number transferring to the PGDipBus.

(e) Continuation or Discontinuation

The review panel recommends that the Master of Professional Accounting be continued. The Panel recommends that the programme's marketing could be improved (as noted in part d). The next review will be in 2020.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the meeting and answered questions. The committee noted the lack of withdrawals

and the relatively low completions. The Chair of the panel explained that students transferred to the PG Diploma in Business and that a number were in employment and were completing as part time students. It was noted that some students transferred to the PG Diploma as they had completed the range of courses they required for their employment.

The Academic Administration Committee agreed with the recommendation that the Master of Professional Accounting be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Master of Commerce (MCom) 180pt
Original Programme Identifier (Academic Services will provide)	11 UC/13-MCom
Name of Self-Review Coordinator and position held	Marco Reale, Associate Professor, School of Mathematics and Statistics, University of Canterbury.

1. PROGRAMME STATEMENT

(a) Description

The requirements for the Master of Commerce (MCom) allow the degree to be awarded with honours upon completion of 180 points of coursework and independent academic research. The majors are Accounting, Economics, Finance, Management, Marketing, Information System, and Taxation.

The 180 point version of the degree replaced the former Part 1 course work and Part 2 thesis with one part (i.e. there is no transition from Part I to Part II). Students complete between 90 -120 points of postgraduate courses and research in the form of a 90 points thesis or a 60 point dissertation. The majors of Accounting, Management, Marketing and Taxation offer a 90 point thesis, while Economics Finance and Information Systems offer a 60 point dissertation.

Students who have already completed a BCom(Hons) complete a 120 points (1.0 EFTS) thesis to be awarded a MCom.

(b) Achievement

The goals of the MCom as outlined in this revision were "to provide students with the opportunity to specialise in one of the following disciplines: Accounting, Economics, Finance, Information Systems, Management, Marketing, and Taxation. (Note that these are the existing majors within the MCom.) By doing so, graduates will be well-prepared for specialist positions within a range of industries, or to undertake a PhD and begin an academic or research career."

Upon review of the documentation the panel finds that the goals are being met. Graduates are prepared to enter a PhD if they wish to but they also have the marketability to enter the workforce.

Marketing and Management are the biggest majors but there are enrolments in every major.

(c) Changes

- In 2015 the entry requirements for the Economics major were updated after a restructuring to the Economics curriculum and subsequent changes in courses.
- In 2016 the Entry requirements into the Management and Marketing majors were updated to reflect the change in the BCom majoring requirements getting reduced from 90 points to 60 points at 300-

level.

2. REVIEW PROCESSES

The 180 point MCom was reviewed in 2017 as part of the degree's normal 5-yearly academic review process. The outcomes from that review have been used to inform this GYR process.

The review team comprised Dr Gerry Nartea (Economics and Finance), Dr Marco Reale (Mathematics and Statistics) and Dr Ryan Whitby (Utah State University). The panel represented an appropriate blend of both discipline-specific and related knowledge. The panel undertook the review collectively and was chaired by Dr Marco Reale.

The review team was supported by Dr Ross James (Dean of Business) and Annette Wanty (The Dean's P.A.) who provided the relevant data and documentation.

As part of the review, the panel interviewed students from the programme.

3. REVIEW OUTCOMES

(a) Acceptability

As part of AACSB accreditation, a rigorous Assurance of Learning (AoL) process is required. This programme was reviewed jointly with the BCom in 2017. The panel was happy with the review provided by this document. The panel considered the Graduate Profile which is shown below and agreed that it was being met. They had no suggestions for amending this profile.

- Graduates can demonstrate higher level in-depth knowledge and understanding of contemporary thought and developments within your specific research area.
- Graduates can evaluate the implications of your own research findings for the wider body of relevant academic literature.
- Graduates can plan and undertake independent academic research that shows a sound understanding of ethical practice.
- Graduates can synthesise academic literature and communicate research findings, both orally and in written form, consistent with academics working in your chosen discipline.

(b) Assessment and Moderation Procedures

Assessment processes are consistent with the current MCom thesis programme offered in the College of Business and Law, and are governed by the regulations for the Degree of Master of Commerce.

The MCom thesis is assessed by one internal examiner (who cannot be the student's supervisor) and one external examiner.

Grade distribution across the MCom is good with a high level of success.

(c) Data

Table 1 - all

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	64	45	19	13.1	28	1
2016	24	20	4	3.4	27	2
2017	27	24	3	4.0	21	1

Table 1a - Domestic

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	49	33	16	10.2	24	1

2016	19	15	4	2.8	18	1
2017	20	17	3	2.9	16	1

Table 1b – Full Fee

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	15	15	3	2.9	4	0
2016	5	5		0.6	9	1
2017	7	7		1.1	5	0

Enrolments in the MCom are not increasing but the decrease aligns with the introduction of a range of 180 point Master's degrees in recent years. Students now have more options to complete a degree in their specific area of interest.

(d) Programme Evaluation and Review

On the basis of the student feedback and accreditation and review by the AACSB, the panel regards the MCom programme as a thorough and successful one.

It was recognised that the MCom has a hybrid structure with the mixture of 60 point dissertations and 90 point theses. This structure works for the individual departments within the College.

Four of the six programmes in the MCom utilise a common research methods course Research Methodology and Epistemology. This ensures a critical mass for the course and coverage of research methods prior to the thesis or dissertation.

(e) Continuation or Discontinuation

The panel recommends the MCom to be continued.

The Graduating Year Review was considered by the Academic Administration Committee. The Dean of Business answered questions about the review.

The Academic Administration Committee agreed with the recommendation that the 180 point version of the Master of Commerce be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Master of Applied Finance and Economics (MAFE)
Original Programme Identifier (Academic Services will provide)	02 UC/13 MAFE
Name of Self-Review Coordinator and position held	Marco Reale, Associate Professor, School of Mathematics and Statistics

1. PROGRAMME STATEMENT

(a) Description

The Master of Applied Finance and Economics (MAFE) is a taught 180 point master's degree that provides students with advanced preparation in both economics and finance, allowing graduates to signal to employers strengths in either or both areas. Advanced analytical skills are provided through existing honours courses, while these technical skills are applied and put to use in a capstone application course. The degree consists of 60 points of level 8 Economics courses, 60 points of level 8 Finance courses, and a level 9, 45 point capstone course FIEC675. Depending on their entrance qualification students may be required to complete FIEC601 Quantitative Finance and Economics, which provides the necessary skills and knowledge to succeed in the rest of the programme. Those students with a strong background in both Economics and Finance may be exempt from FIEC601, in which case they take a further course in either Finance or Economics.
The numbers predicted at the time of submission to CUAP were: 6 in the first year, growing to 10 in the second year and 14 thereafter. These predicted numbers have been surpassed.

(b) Achievement

The goals of the Master of Applied Finance and Economics as stated in the original CUAP proposal were "the MAFE has been designed as an "advanced yet applied" programme that seeks to take students with only moderate background in economics and finance, equip them with strong analytical skills, and then provide them with opportunities to apply those skills in ways likely to be valuable in careers in finance and economics."

Upon reviewing the documentation and meeting with students in the programme, the panel finds that the goals of the proposal are being met on an ongoing basis.

(c) Changes

There have been no significant changes to this degree.

2. REVIEW PROCESSES

Account of Review Processes.

The review team comprised Dr. Gerry Nartea (Economics and Finance), Dr. Marco Reale (Mathematics and Statistics) and Dr. Ryan Whitby (Utah State University). The panel represented an appropriate blend of both discipline-specific and related knowledge. The panel undertook the review collectively and was chaired by Dr. Marco Reale.

The review team was supported by Dr Ross James (Dean of Business) and Annette Wanty (The Dean's P.A.) who provided the relevant data and documentation.

As part of the review, the panel interviewed students from the programme.

3. REVIEW OUTCOMES

(a) Acceptability

As part of AACSB accreditation, a rigorous Assurance of Learning (AoL) process is required. After a detailed interview with the students in the programme the panel was happy with the evidence acquired both in terms of the acceptability from the professional community and alignment with the graduate profile.

(b) Assessment and Moderation Procedures

The Department of Economics and Finance conducts an annual review of the postgraduate programme. Recently this has involved staff from the UC Academic Development Group conducting interviews with exiting students. The results of these reviews are presented at a Department meeting for discussion and then posted on the Department's internal site for future reference and action by individual staff.

The qualification as a whole is subject to the regular review cycle and undergoes regular graduating year reviews.

(c) Data

Table 1. Enrolment and completions

	Enrolled	Enrolled	Completions
Total	2015	8	7
	2016	23	20
	2017	22	17
Domestic	2015	3	3
	2016	9	9
	2017	9	7
International	2015	5	4
	2016	14	11
	2017	13	10

Enrolments almost tripled from 2015 to 2016 and are steady in 2017. This is accompanied by good completion rates.

(d) Programme Evaluation and Review

The programme's title, regulations, aims, and stated learning outcomes are adequate and appropriate for the corresponding degree. The MAFE has been designed as an "advanced yet applied" programme that seeks to take students with only moderate background in economics and finance, equip them with strong

analytical skills, and then provide them with opportunities to apply those skills in ways likely to be valuable in careers in finance and economics.

The programme has not been subject to any other reviews to date.

(e) Continuation or Discontinuation

The panel recommends that the Master of Applied Finance and Economics (MAFE) to be continued and supported by the college.

The Academic Administration Committee discussed the review. The Dean of Business answered questions.

The Academic Administration Committee agreed with the recommendation that the Master of Applied Finance and Economics be continued.

TEMPLATE 6

GRADUATING YEAR REVIEW

2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Bachelor of Health Sciences, and Society and Policy for Bachelor of Health Sciences
Original Programme Identifier	01 UC/12 BHSc/1
Name of Self-Review Coordinator and position held	Annabel Ahuriri-Driscoll – Programme Coordinator

1. PROGRAMME STATEMENT

(a) **Description**

The Bachelor of Health Sciences (BHSc) was proposed to CUAP in 2012 and first offered in 2013. The degree sought to "provide a new opportunity for a research-informed undergraduate education in the health sciences in the Canterbury region, that would enable students to enter career pathways in a range of non-clinical roles in the health sector and related professions associated with health". It would also provide a pathway to postgraduate study and research in health sciences and associated subjects.

The BHSc gives students access to a wide range of health-related expertise at the University of Canterbury. The degree has a compulsory core of courses comprising 135 points, and includes: human biology; determinants of health and wellbeing from lifespan, social and cultural perspectives; understanding health data; the New Zealand health system; epidemiology; Te Tiriti o Waitangi and cultural competencies; evidence in the provision of health services; and values and ethics in health care.

The following majors were included in the original proposal: Public Health; Environmental Health; Psychology; Māori and Indigenous Health; Health Education; and Physical Activity Promotion. The Society and Policy major was proposed later in 2012 and also offered in 2013. Students were permitted to take double majors where desired. In particular, the Public Health major is 90 points (a total of 225 points with the public health-oriented core courses), and it was envisaged that students may wish to combine this with other majors such as Māori and Indigenous Health (120 points), Health Education (105 points), or Physical Activity Promotion (120 points). These majors would allow students to tailor the BHSc to suit their interests and future career aspirations.

Feedback on the initial CUAP proposal was primarily positive, with those consulted praising the multidisciplinary nature of the degree and its focus on providing appropriate training for the future health workforce. A number of issues were raised that were accommodated within the initial programme. In addition, there was an emphasis on the importance and relevance of internships/practicums. These were offered initially in the Health Education, Māori and Indigenous Health and Physical Activity Promotion majors. Experience has shown that an even greater emphasis in this area would be desirable. To date, four students have completed the BA Internship (ARTS395), 42 have completed the Health Education Internship (HLED321) and four completed a Māori Health practicum (HLTH306) which ran for two years.

(b) **Achievement**

A total of 67 students completed the Bachelor of Health Sciences between 2015 and 2017 (26 in 2015, 23 in 2016 and 18 in 2017). In its first year, there was a total of 53 enrolments in the BHSc programme, consistent with the numbers proposed in the new degree's business case. This total consisted of 18 enrolments in the Public Health major, 14 in the Psychology major, 11 in Health Education, 2 in Māori and Indigenous Health, 3 in Physical Activity Promotion, 4 in Society and Policy, 4 unspecified, and 0 in Environmental Health.

The most popular majors are Public Health, Psychology and Health Education which all show strong numbers. There is consistent demand for Society and Policy as a second major; and a growing interest in the Māori and Indigenous Health major. The Environmental Health major has been slower to attract students.

In 2017, the roles of "Year Coordinators" were introduced to: oversee assessment timeframes each year, to be the first port of call for students, for tracking student progress, for organising year social activities with student representatives, talking with students who are struggling and steering them toward mentoring and other support as well as identifying gaps in core skills across the years. This initiative was, in part, a response to the loss of 18 of the 56 students from the programme between 2016 and 2017. Of these students: 8 failed one or more course and switched to education (2), commerce (1), science (2) or simply withdrew (3); 4 switched to other degrees (without failing) BA (3), BSWK (1); 4 withdrew from courses without failing and didn't re-enrol (some appear to have withdrawn mid-year); and 2 students passed all their courses but didn't re-enrol.

(c) **Changes**

- Due to low enrolments and teaching staff changes, the Physical Activity Promotion major ceased taking enrolments in 2014. One student graduated with the major in 2015.
- HLTH110: Epidemiology was incorporated as a core (compulsory) course, in place of STAT101.
- To reduce duplication and in response to changing staff profiles in Aotahi, there was a re-organisation of the programme requirements and options involving MAOR and TREO courses. Further changes in this area are proposed for 2019, which will provide students with a more solid theoretical and practical background to equip them to support Māori health initiatives in the workplace.
- HLTH111: Global Health was introduced as a required first year course for the Public Health major, addressing an important gap in students' knowledge of public health relating to developing countries.
- SOCI311: Mental Health and Society was introduced as an optional third year course in the Public Health and Society and Policy majors to provide students with advanced knowledge of contemporary debates in sociology and mental health and skills in critical social enquiry.
- The programme will also benefit from GEOG325: Health, Wellbeing and the Environment, a new paper to be introduced from 2019 in place of GEOG322 (which is being discontinued).

2. REVIEW PROCESSES

Account of Review Processes.

A formal review panel was constituted comprising: Dr David Small, School of Educational Studies and Leadership (Chair); Dr Isabel Jamieson (School of Health Sciences/ARA Institute of Canterbury School of Nursing); Dr Tim Huber (School of Product Design, College of Engineering); and Annabel Ahuriri-Driscoll (School of Health Sciences) – BHSc Co-coordinator. The panel met on 17 July and 2 August 2018 and exchanged correspondence and worked on a shared drive around these dates. The panel reviewed the relevant documentation provided by Academic Services as well as additional information provided by the Programme Coordinator. This included: the Health Working Group Undergraduate Teaching of Health review on 13 July 2013, minutes from BHSc coordinator meetings, and focus groups conducted with BHSc graduates in 2015 and 2016. Feedback was sought from several external stakeholders including a UCSA

representative, the College of Arts external relations manager/internship coordinator, and a local Māori/public health advocate from Public Health Association and Community and Public Health. An online survey returned 61 responses from current BHSc students.

3. REVIEW OUTCOMES

(a) **Acceptability**

The survey of current students conducted as part of this review (Appendix 3) revealed strong endorsement of the degree with 57 of the 60 respondents indicating that they would recommend the degree to a friend or family member who is interested in Health Sciences.

One aspect of the BHSc identified as requiring further development by students and stakeholders relates to the UC Graduate Profile. In terms of community engagement and employability, internships and/or opportunities for practical experience were deemed critical. In response to a survey question about whether the BHSc should have more practical work requirements (e.g. work placements, internships, volunteer opportunities), 73.3% of student respondents currently enrolled agreed or strongly agreed. Additional comments included: "Some more practical experience would be good"; "Definitely think there needs to be much more real-life, practical experience". Similar comments were made in the 2017 Graduate Destinations Survey: "there is need for further job training"; "internships leading to more employment opportunities".

Stephen Hardman, UC Arts Internship coordinator and External Relations Manager, noted that placement is "essential for the BHSc", with internships offering an important counterpoint to the critical and theoretical focus of academic courses, the opportunity to develop interpersonal skills, gain confidence in a professional environment, and therefore to boost employability. Furthermore, Lee Tuki, Public Health Association president and Team Leader at Community & Public Health, CDHB, saw this type of practical experience as providing students with the opportunity "to see the real world and then think about how to apply their knowledge".

Two Graduate Destination Surveys have been conducted by Academic Services with BHSc graduates. In the 2016 survey, of the 16 graduates who responded, 4 (25%) were in further study, and of the 12 not in study, 9 (75%) were working full-time, primarily in health care and social assistance, or administrative and support services. Nine felt that their current job was 'a step in the right direction but not necessarily [their] ideal at this stage in [their] career'. In the 2017 survey, 4 (27%) of the 15 respondents were in full-time study, 10 were working full-time, and one was still looking for work. Just under half (46%) perceived their current employment as 'unrelated to career aspirations', 39% perceived it as 'a step in the right direction', and 15% felt it was 'definitely [their] ideal employment'. 14 (93%) rated their understanding of their study field as 'average', 'strong' or 'very strong'. Most respondents (87%) perceived their ability to draw from their learning experience to identify and use skills needed for work as 'strong' or 'very strong'. Interpersonal and social intelligence, cultural competence and analytical/critical thinking were the skills most commonly reported.

(b) **Assessment and Moderation Procedures**

The results of BHSc core courses are discussed at examiners' meetings held at the end of each semester, where overall grades/distribution are noted, applications for impaired performance are received/considered and curriculum implications briefly discussed. HLTH 110 was moderated by external reviewers in 2016, and a staged moderation schedule has been developed for the remaining BHSc core courses over the coming three years.

All BHSc students are required to complete the capstone course, HLTH301. There is a noted GPA decrease over the years 2015-2017, which has been addressed via assessment changes, and the provision of additional tutorials (the latter in response to student requests). The GPA for HLTH312, the second largest 300 level course, has steadily increased between 2015 and 2017 (see Appendix 2).

(c) **Data**

Table 1: Numbers enrolling and completing

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	97	91	6	86.6	26	2
2016	125	119	6	107.4	23	4
2017	125	122	3	119.4	18	1

The 'actual number of enrolled students' in each year is inclusive of Years 1, 2 and 3 students. Overall completion rates are satisfactory, with a small number of students having withdrawn over the period of 2015-2017, a ratio of 7 withdrawals to 67 completions. The decrease in completions can be at least partially explained by the pattern of enrolments which saw a higher number of enrolments in 2013, dropping off slightly in 2014 and 2015 before beginning to increase over 2016-18. There will be approximately 35 completions in 2018 reflecting the considerably higher enrolment in the 2016 intake.

(d) **Programme Evaluation and Review**

As noted above, the BHSc is a well-run programme that is popular and is meeting a clear need. Since it began, it has sought and proved responsive to feedback from students and stakeholders. It has also shown flexibility and adaptability in working in conjunction with courses offered as part of other programmes but which form an important part of the BHSc. From the outset, it was noted that it would be essential for the BHSc to have a significant emphasis on internships and practicums. This has proved prescient with students and other stakeholders continuing to stress this.

The original BHSc Graduate Profile (see Appendix 1) is being met. However, it needs to be more explicitly aligned with the UC Graduate Profile. The BHSc's emphases on biculturalism, internationalisation and community engagement are not sufficiently foregrounded in the existing Graduate Profile. Changes will be drafted by BHSc programme staff for consideration and approval at the College's Board of Studies.

(d) **Continuation or Discontinuation**

The review panel recommends that the Bachelor of Health Sciences, and the Society and Policy major, be continued on the grounds that they are supported by students and stakeholders and they are meeting the needs they were created to meet.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the Academic Administration Committee meeting and answered questions. The committee noted the small enrolment numbers in some of the majors. The chair responded that these majors comprised courses outside of Health ie MAOR, BIOL etc and that although numbers in the major were small, there were enrolments in the component courses. AAC commended the panel on their level of student engagement.

The Academic Administration Committee agreed with the recommendation that the Bachelor of Health Science and the Society and Policy major in the degree be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Diploma in Early Childhood Education
Original Programme Identifier (Academic Services will provide)	CN0904
Name of Self-Review Coordinator and position held	Associate Professor Julie Mackey Dean of Education and Health Sciences

1. PROGRAMME STATEMENT

(a) Description

The Diploma in Early Childhood Education was developed to cater for cohorts of selected international students wishing to gain an introductory qualification in early childhood education in Aotearoa/New Zealand.
The one year Diploma of Early Childhood Education was designed for international students considering a career in early childhood education, and contemplating further tertiary study towards the Bachelor of Teaching and Learning (Early Childhood) recognised by the New Zealand Education Council for the purposes of becoming a registered New Zealand teacher. The NZQA Level 5 Diploma required an Academic IELTS 6 or equivalent for entry. The Diploma courses were closely aligned to the first year content for the BTchLn(EC). Graduates of this programme were expected to be well placed to find employment in the diverse range of early childhood settings available, both nationally and internationally. The holders of this qualification were expected to be able to choose the service in which they wished to work either as a supervised assistant in an ECE service or as an unqualified ECE educator. Diploma of Early Childhood Education graduates were expected to be able to demonstrate knowledge and skills in a range of areas and will be well placed for further study towards an early childhood teaching qualification.
The intention to attract cohorts of international students proved more challenging than expected and as a result the qualification has not been formally offered. Since the approval of the qualification in 2012 there has only been one graduate in 2016. This student from Japan was approved into the Diploma in Early Childhood Education after a complicated situation that left her in the country without the necessary IELTS score to complete the Bachelor of Teaching and Learning. She passed all of the required courses, graduated, and returned to Japan.
The decision has been made to discontinue the qualification.

(b) Achievement

The programme did not meet its intended goals. This is not a reflection on the programme itself but rather the inability to satisfactorily market the programme to international students, and to establish the networks that would have supported cohorts of students entering the programme. At the time of development there had been promising conversations with an international party who was keen to recruit students and to support this initiative however that did not come to fruition.

(c) Changes

There have been no changes to the programme.

2. REVIEW PROCESSES

Account of Review Processes.

The Graduating Year Review was undertaken by Associate Professor Julie Mackey, the Dean of Education and Health Sciences, in consultation with Dr David Small (Associate Dean of Education and Health Sciences), Dr Stuart Wise (Acting Head of the School of Teacher Education), Dr Trish Lewis (Programme Coordinator for the Bachelor of Teaching and Learning, Early Childhood). The review has been completed as required under CUAP requirements but has been undertaken as a desk exercise given there has been only one graduate and she is now residing overseas.

3. REVIEW OUTCOMES

(a) Acceptability

The one graduating student expressed her gratitude for the opportunity to gain this qualification in recognition of the work completed. Apart from this, no data is available to respond to acceptability.

(b) Assessment and Moderation Procedures

The one graduate completed the equivalent Bachelor of Teaching and Learning (Early Childhood) courses with acceptable grades. All of these courses were subject to that professional programme's monitoring and moderation processes in accordance with the New Zealand Education Council's requirements.

(c) Data

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015						
2016	1	1		1.0	1	0
2017						

As noted, there has only been one graduate from this programme.

(d) Programme Evaluation and Review

Not applicable as there have been insufficient graduates to warrant programme evaluation and review activities.

(e) Continuation or Discontinuation

The decision has already been made to formally discontinue this qualification. The proposal to discontinue was submitted to Round 2 CUAP in 2018.

The Graduating Year Review was considered by the Academic Administration Committee who agreed with the course of action taken by the College of Education, Health and Human Development regarding this qualification.

GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Postgraduate Diploma in Science (PGDipSc) / Master of Science (MSc): Economics and Finance
Original Programme Identifier (Academic Services will provide)	16 UC/13 MSc, PGDipSc/2
Name of Self-Review Coordinator and position held	Marco Reale, Associate Professor, School of Mathematics and Statistics, University of Canterbury

1. PROGRAMME STATEMENT

(a) Description

This proposal introduced majors in Economics and Finance into the Master of Science (MSc) and the Postgraduate Diploma in Science (PGDipSc). The MSc major in Economics requires 120 points of 600-level courses in Economics and a 120 point thesis. The MSc major in Finance requires 120 points of 600-level courses in Finance and a 120 point thesis. The PGDipSc major in Economics requires 120 points of 600-level taught courses in Economics while similarly the major in Finance requires 120 points of 600-level taught courses in Finance. The PGDipSc is designed to be used as an exit qualification for students who are unable to complete either the MSc or MCom in Economics or Finance.

At the time the proposal was submitted to CUAP it was unclear how many students these additional pathways would attract. It was considered less likely that new students would be attracted given the current MCom. In 2013 10 students were enrolled in the MCom for Economics and Finance.

(b) Achievement

The goals outlined for the PGDipSc in Economics and Finance in the original CUAP proposal were that students "will have significantly advanced their subject knowledge, their critical thinking skills and their ability to communicate concepts and ideas."

The goals outlined for the MSc in Economics and Finance in the original CUAP proposal are that students "will have significantly advanced their subject knowledge, their critical thinking skills, their ability to undertake independent research and their ability to communicate concepts and ideas. They will be able to move to a research based PhD or into careers that require a high standard of independent analysis and research".

It is difficult to evaluate the PGDipSc because no one has completed the degree programme. However, the lack of completions in the programme is actually evidence that the other programmes are working as intended and successful. The PGDipSc is designed as an option for students who are unable to handle the requirements of other degree programmes. The lack of completions means that students have been able to complete their degree requirements and have not needed this alternative. Thus, the panel views the degree offering as a valuable part of an overall strategy to help students succeed.

(c) Changes

There have been no significant changes to either of these qualifications.

2. REVIEW PROCESSES

Account of Review Processes.

The review team comprised Dr. Gerry Nartea (Economics and Finance), Dr. Marco Reale (Mathematics and Statistics) and Dr. Ryan Whitby (Utah State University). The panel represented an appropriate blend of both discipline-specific and related knowledge. The panel undertook the review collectively and was chaired by Dr. Marco Reale.

The review team was supported by Dr Ross James (Dean of Business) and Annette Wanty (The Dean's P.A.) who provided the relevant data and documentation.

As part of the review, the panel interviewed students from the programme.

3. REVIEW OUTCOMES

(a) Acceptability

Once again, it is difficult to determine acceptability without any completions. However, the panel views the alternative pathway of the PGDipSc as a relevant and acceptable option for students.

(b) Assessment and Moderation Procedures.

Assessment includes the full range of activities, e.g. essays, assignments, presentations, invigilated tests and exams. The thesis is assessed as per the standard thesis assessment process.

All courses are surveyed every year. For postgraduate courses this is via an interview process conducted by a neutral 3rd party who then prepares a report for the Department.

The panel is unable to comment on the achievement of students and the assessment process for the lack of data.

(c) Data

	Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
Table 1 – All	2017	1	1	0	0.1		0
Table 1a-Domestic	2017	0	0	0	0	0	0
Table 1b-Full Fee	2017	1	1	0	0.1		0

Since the introduction of these subjects in the Master of Science and Postgraduate Diploma in Science only one student has enrolled – in the Postgraduate Diploma and has not finished yet. Given that this programme is an alternative track for students that are struggling in their initial area of study, we find the lack of enrolment encouraging.

(d) Programme Evaluation and Review

The programme's title, regulations, aims, and stated learning outcomes are adequate and appropriate for the corresponding degree. A Postgraduate Diploma remains a useful pathway for a small number of students. It provides an exit qualification for Honours students who for whatever reason do not complete the research project or who fail more than 1 course. It also provides an exit route for students who undertake part 1 of a Masters (120 points of course work) and then elect to not continue to the thesis

stage.

The programme has not been subject to any other reviews.

(e) Continuation or Discontinuation

The panel recommends that the Postgraduate Diploma in Science (PGDipSc) / Master of Science (MSc): Economics and Finance be continued.

The Graduating Year Review was considered by the Academic Administration Committee. The Dean of Business and Law answered questions. The committee noted the lack of enrolments in the programmes. The postgraduate diploma option has not been used as an exit qualification and students have not been attracted to the availability of Economics and Finance in the Master of Science. These options at the master's level are available to students in the Master of Commerce. The Dean of Science agreed that there was no student demand for these subjects and that they be discontinued. It was suggested the College of Business and Law could develop a postgraduate diploma if they wished to have an exit qualification for their MCom students. The student who enrolled in the Postgraduate Diploma in Science in 2017 will be followed up to clarify their enrolment status and future plans.

The Academic Administration Committee recommends that the subjects of Economics and Finance in the Postgraduate Diploma in Science and Master of Science be discontinued.

TEMPLATE 6

GRADUATING YEAR REVIEW

2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Master of Speech and Language Pathology (MSLP)
Original Programme Identifier (Academic Services will provide)	
Name of Self-Review Coordinator and position held	Associate Professor Greg O'Beirne Deputy Head of Department

1. PROGRAMME STATEMENT

(a) **Description**

The programme has been developed with the IALP Guidelines for Initial Education in Speech-Language Pathology, and NZSTA Programme Accreditation Framework as its guiding documents. The MSLP is composed of 240 points: Year 1 is comprised of: CMDS 661 (Clinical Linguistics and Language Acquisition), CMDS 662 (Fluency Disorders), CMDS 663 (Audiological Assessment and Management), **CMDS 664 (Professional Studies & Clinical Practice 1)*,** CMDS 665 (Speech & Language Disorders in Children), CMDS 666 (Voice Disorders), CMDS 667 (Neuroscience of Communication & Swallowing), **CMDS 668 (Evidence-Based Clinical Practice 2)*.** Year 2 is comprised of: CMDS 669 (Dysphagia & Related Disorders – Diagnosis), CMDS 670 (Aphasia & Related Disorders), **CMDS 671 (Applied Research & Clinical Practice 3)*,** CMDS 672 (Spoken & Written Language Disorders in Educational Settings), CMDS 673 (Motor Speech Disorders), CMDS 674 (Dysphagia & Related Disorders – Management), CMDS 675 (Complex Communication Disorders), and **CMDS 676 (Professional Studies & Clinical Practice 4**)*. Courses in bold with asterisks were proposed to be taught at Level 9, with remaining courses at Level 8.

(b) **Achievement**

The overarching goal is to produce graduates ready for entry-level clinical practice as a speech therapist, developed based on the International Association of Logopedics and Phoniatrics (IALP) Guidelines for Initial Education in Speech-Language Pathology, and New Zealand Speech Therapists Association (NZSTA) Programme Accreditation Framework. This has been achieved, as evidenced by the current accreditation by the NZSTA.

As shown in Section 3(b), the number of students enrolling in the MSLP has increased since its inception. This indicates the continued and increased demand for the degree. As also indicated in that section, the vast majority of students enrolling in the MSLP complete the programme. This is aligned with the original CUAP proposal and there do not appear to be issues with student enrolment or retention. All courses in the MSLP are fully subscribed.

Several courses in the MSLP are co-taught with courses in the BSLP (Hons). Three of these courses (666, 669, 674) share course outlines with the BSLP (Hons) courses. In these instances, it is not clear how the

MSLP students are achieving higher (Level 8) outcomes compared with the BSLP (Hons) students. *The panel recommends that staff review this practice and make it clear how the learning outcomes and NZQF levels are clearly differentiated between the MSLP and BSLP (Hons) courses.*

(c) **Changes**

Change 1: IELTS requirements: The regulations to the MSLP programme do not have a programme-specific entry requirement for IELTS scores. The UC postgrad IELTS requirements do not align with the NZSTA standards. A CUAP proposal, put into effect for 2018, added a programme-specific IELTS (Academic) requirement: Applicants for whom English is not their first language need to achieve an IELTS (Academic) average score of at least 7.0, with no score lower than 6.5.

Change 2: Repeating of assessments: The original CUAP proposal allowed for repeating of component assessments. A CUAP proposal, put into effect for 2018, removed this regulation. The justification for this removal was to more closely align the BSLP(Hons) and MSLP programme regulations.

Change 3: Prerequisite coursework: The original CUAP proposal required several prerequisites for entry to the degree. A CUAP proposal, put into effect for 2018, changed the prerequisite requirements. The justification was a heavy workload, poor alignment with BSLP(Hons), and content of prerequisites being covered in MSLP coursework.

2. REVIEW PROCESSES

Account of Review Processes

This review was initiated by Associate Professor Greg O'Beirne (Deputy HoD). The review panel was chaired by Professor Jennifer Hay (Linguistics, UC), and included 3 additional members: Dr Anna Miles (University of Auckland), Dr Sebastian Doeltgen (Flinders University), and Dr Rebecca Kelly-Campbell (UC). The panel interviewed: MSLP Programme Director, Director of Clinical Education), Deputy HoD, Clinical Educators, current BSLP(Hons) students, current MSLP students, recent graduates, academic staff, employers of MSLP students, NZSTA representative, College of Science Dean and a representative from the AVC Māori.

3. REVIEW OUTCOMES

(a) **Acceptability**

Graduates of the MSLP appear to be meeting the programme goals and achieving the graduate profile. This was evidenced by the interviews with the current and former students, employers, NZSTA, and the AVC Māori representative.

Current and former students expressed appreciation for the positive experiences during the programme. They agreed the staff are approachable and engaged and the course content is relevant and up-to-date. They did express some concerns over the co-taught nature of the programme with the BSLP(Hons). They highlighted opportunities for MSLP and BSLP(Hons) students to form better cohesion within and between their cohorts. For example, they suggested more separation of the cohorts at the start of the programme (CMDS 664) and provision of more within-group activities. They also suggested that the programme make it clearer to applicants that the courses are co-taught with undergraduate students, that the programs are clearly differentiated, and that the differences be clearly communicated. Recent graduates also suggested that some areas could be enhanced in the programme: brain injury, cognition, and paediatric dysphagia.

Academic and clinical staff also commented on the acceptability of the MSLP. They were generally positive about the programme but did highlight some challenges. For the clinical staff, challenges included

coordinating BSLP(Hons) and MSLP in separate cohorts given staffing resources. For the academic staff, there appeared to be some challenges when courses are co-taught between the programmes. This is related to the point raised above regarding the NZQF level in some MSLP courses.

Employers and the NZSTA representative indicated that MSLP graduates had acquired the required skill set for the workplace and no major concerns were reported. Employers at the Ministry of Health were particularly impressed with the quality of UC graduates and their ability to employ evidence-based practice, particularly in the area of adult dysphagia. Employers at the Ministry of Education did highlight one area that could be improved: students are not as prepared for adult capacity building (coaching) as students from other programmes.

The AVC Māori representative and the NZSTA representative commended the programme in its commitment to Bicultural Competency and Confidence (BiCC). There has been careful attention to embed BiCC throughout the programme with consultation from the AVC Māori representative. Some suggestions to continue improvement in this area included: *adding interactive component to the online Mauriora course, adding more information in course ILOs about how students will demonstrate outcomes in practice, consider ways to include Te Reo Māori throughout the programme.*

(b) **Assessment and Moderation Procedures**

Data in appendix 2 indicate students are progressing well in the programme. The course outlines clearly link the ILOs to assessments. These assessments and ILOs appear to address the elements in the graduate profile. *A suggestion for continued improvement is to make these links more overt in the course outlines.* Students and staff commented that many assessments were identical between some BSLP(Hons) and MSLP courses. *The panel recommends this practice be reviewed to ensure MSLP students are engaging in appropriate (level 8 and 9) learning and that this is reflected in the assessments*.

The panel noted staff used a variety of assessment procedures which enhance student learning outcomes. *One area for improvement would be to have a moderation procedure for assessments*. This could be an internal or external procedure. Students commented that assessments are typically returned in a timely manner with helpful feedback. However, some staff do not follow the UC guideline for returning marks and feedback within 4 weeks of the assessment date. *The panel recommends that the programme regularly reviews assessment procedures and follows UC guidelines throughout the programme*.

(c) **Data**

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	25	23	2	23.7	15	0
2016	25	20	5	21.4	8	1
2017	35	32	3	35.0	8	1

The table above provides data regarding student enrolment and completions. The programme predominantly attracts full time students. Enrolment of full-fee paying students has increased from 3 students in 2015 to 12 students in 2017. Differences in completions between the domestic and full-fee paying student cohorts cannot be extracted from these data. However, it is apparent that there are relatively few non-completions from the programme. This speaks to the robust nature of the selection

process into the programme and the continued effort by staff to maintain a high retention rate in the programme.

It appears from these data that there are no students enrolled in the programme that self-identify as Māori or Pasifika. The AVC Māori representative commented that this can sometimes be under-reported. MSLP staff acknowledge the need to increase enrolments of students identifying as Māori and Pasifika and described efforts in this area.

The grade distribution for the MSLP was provided to the panel. As seen by the overall GPA, students are performing well as a group. Most students perform in the A range. Very few students are failing courses. This trend has remained relatively stable, despite increases in enrolments from 2015 to 2017.

(d) Programme Evaluation and Review

The MSLP programme is accredited by the NZSTA. The NZSTA representative interviewed by the panel indicated there were no concerns regarding the continued accreditation of the programme. The representative commended the programme on its commitment to BiCC and on its collaboration with other programmes and the SLT community in this area in particular. Suggestions for continued improvement are provided above.

The MSLP programme is meeting its goals stated in the original CUAP proposal. The changes made to the programme have appropriately addressed important issues related to the original proposal. The curriculum addresses the graduate profile, as evidenced by the feedback from recent graduates and employers. There are a few suggestions provided above for continued improvement.

As stated above, the panel recommends the programme review its assessment procedures and implementation of co-teaching with the BSLP(Hons). This is the most pressing challenge to learning and teaching for the MSLP programme.

The panel echoes the commendation of the NZSTA and AVC Māori representatives regarding the implementation and embedding of BiCC components in the MSLP programme. The panel also commends the MSLP programme for its high recruitment and retention rates.

(d) **Continuation or Discontinuation**

The panel recommends continuation of the MSLP programme. The recommendations provided in this review reflect suggestions for continued improvements. The MSLP programme is due to be reviewed for accreditation by the NZSTA in 2020. The panel recommends continued internal review in the form of a Programme Review in their regular review cycles.

The Graduating Year Review was considered by the Academic Administration Committee. The chair of the review panel attended the meeting and answered questions. The committee discussed the concerns about the co-taught courses. The Dean of Science confirmed that these concerns will be addressed as a matter of urgency.

The Academic Administration Committee agreed with the recommendation that the Master of Speech and Language Pathology be continued.

TEMPLATE 6
GRADUATING YEAR REVIEW
2018

UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

DETAILS

Current Year	2018
Name of Programme	Endorsement in Environmental Science
Original Programme Identifier (Academic Services will provide)	
Name of Self-Review Coordinator and position held	Associate Professor Sally Gaw, Director of Environmental Science

1. PROGRAMME STATEMENT

(a) Description

The endorsement in Environmental Science for the Bachelor of Science degree was introduced in 2007. This proposal was developed in response to student demand. At the time Environmental Science was offered at the University of Canterbury at postgraduate level only. The endorsement in Environmental Science was developed to complement the undergraduate degree major without compromising students' capabilities and potential in the sciences. The purpose of the endorsement was to strengthen students' preparation for postgraduate study and research in Environmental Science. To be eligible for an endorsement in Environmental Science, students were required to complete the requirements of the BSc including 252 points from courses from a prescribed list. The endorsement was available to students enrolled in the College of Science and majoring in Biology, Chemistry, Geography and Geology.

(b) Achievement

The programme goals of the endorsement in Environmental Science were:

Bachelor of Science students who major in Biological Sciences or Chemistry or Geography or Geology with an endorsement in Environmental Science will have, in addition to knowledge and skills from their major:

- introductory knowledge of human-environment interactions
- introductory knowledge of ecosystem processes
- introductory skills in environmental mapping using geographic information systems
- relevant practical skills in field and/or lab work
- foundation knowledge and skills as preparation for postgraduate study in environmental science.

These goals were met through the courses offered.

(c) Changes

In 2012 the structure and requirements of the endorsement were revised to provide greater coherence and meaning. The revised endorsement requirements focussed on a set of key skills and bodies of knowledge that were central to the practice of environmental science, appropriate to undergraduate level achievement and complementary to learning in each relevant BSc major. The regulations were changed to

specify required courses in core knowledge and skills for all students enrolled in the endorsement and to specify required courses for each major

2. REVIEW PROCESSES

Account of Review Processes.

The review team comprised Dr Joana Kuntz (Psychology), Professor Brett Robinson (Chemistry and Environmental Science) and Associate Professor Sally Gaw (Chemistry and Environmental Science). The panel acted as a team and was nominally chaired by Sally Gaw. The Dean of Science Janet Carter was available for comment as necessary.
The panel was provided with the initial CUAP proposals, the 2011 qualification change template, enrolment and achievement statistics, and summary data from the graduate destination surveys.

3. REVIEW OUTCOMES

(a) Acceptability

Environmental research scientist is listed on the New Zealand Immigration long-term skill shortage list. According to the Careers NZ website, there is a shortage of Environmental Scientists in New Zealand.
The endorsement in Environmental Science was the endorsement with the most students enrolled.
Data from the 2015, 2016 and 2017 graduate student destination surveys showed that students are being employed in relevant professions indicating acceptability to employers. Of the 10 respondents, 4 were employed in professional, scientific and technical services, and 2 in local government administration. Students are meeting the learning outcomes for this programme and the individual courses within the programme; evidence of this is the high programme completion rate.

(b) Assessment and Moderation Procedures

Teaching is through a combination of face to face lectures, laboratory and fieldwork and group project work. On-line and face to face tutorials are used to aid in-class teaching. Individual courses comprising the endorsement are assessed using a combination of project work, oral and written presentations, laboratory and fieldwork, and invigilated tests and exams.

(c) Data

Year	Actual No. Enrolled	Full-time	Part-time	EFTS	No. Completed	Withdrawals
2015	98	94	4	90.5	33	0
2016	91	84	7	83.3	16	1
2017	38	38	0	35.2	25	0

This was a popular endorsement with only one student withdrawing over the assessment period. The declining enrolment numbers in 2017 are due to the endorsement being discontinued in favour of the new major in Environmental Science.

(d) Programme Evaluation and Review

As described above in part 1c) the structure and requirements of the endorsement were revised in 2012 to provide greater coherence and meaning. The regulations were changed to specify required courses in core knowledge and skills for all students enrolled in the endorsement and to specify required courses for each major. The introduction of the required courses ensured that the goals of the programme were met.

(e) Continuation or Discontinuation

The BSc endorsement in Environmental Science at the University of Canterbury has been taught out since the introduction of a major in Environmental Science in 2017. At the time the endorsement was introduced it was envisaged as a pathway to developing a major in Environmental Science. The panel supports the discontinuation of the endorsement and the introduction of the major. Enrolments in the new first year course ENVR101 have increased from 58 in 2017 to 148 in 2018.
The Graduating Year Review was considered by the Academic Administration Committee. The Dean of Science answered questions. The committee noted that the endorsement was being taught out and that a CUAP proposal would be submitted to Round 1 2019 to formally discontinue the endorsement.
The Academic Administration Committee agreed with the recommendation of the panel.

Academic Dress and Specification Regulations

1. Version

These Regulations came into force on 1 January 2016.

2. Authority

The University Registrar holds authority for these Regulations.

3. Academic Dress

(a) Members of the University attending or taking part in public ceremonies for which academic dress is prescribed must wear the academic dress proper to their qualification or office.
(b) The academic dress worn by a person who has had their degree conferred by the University must conform in respect of shape, size, material and colour to the standard specifications determined by Council and maintained by the Registrar.
~~(b)~~(c) The supply of academic dress is the sole responsibility of members, graduates and graduands.

4. Specification for University Officers

(a) The robe of the Chancellor is a Peony Red (colour: B.C.C.37) damask gown embroidered with gold and gold lace; the trencher is Peony Red with gold lace and gold tassel.
(b) The robe of the Pro-Chancellor is a Peony Red damask gown embroidered with gold and gold lace; the trencher is Peony Red with a gold tassel.
(c) The robe for the Vice-Chancellor is a Peony Red damask gown embroidered with gold; the trencher is Peony Red with a gold tassel.
(d) The robe for the University Registrar is a Peony Red silk gown embroidered with gold; the trencher is Peony Red with a Peony Red tassel.

5. Specification for University Graduates

(a) Gowns

i. The gown for a certificate or diploma (undergraduate, graduate, or postgraduate) is as for the Cambridge Bachelor of Arts. If a graduand/graduate holds a Bachelor's, Master's, Doctoral degree, or other higher qualification, they may wear the full regalia appropriate to that degree/qualification.*
ii. The gown for a bachelor's degree is as for the Cambridge Bachelor of Arts.
iii. The gown for a master's degree is as for the Cambridge Master of Arts.
~~iii~~iv. The gown for the Degree of Doctor of Philosophy is as for the Cambridge Master of Arts but with Peony Red (B.C.C.37) detachable facings for dress occasions.
~~i~~v. The gown for a doctoral degree other than that of Doctor of Philosophy is as for the Cambridge Master of Arts but the colour is Signal Red (B.C.C.208).

(b) Hoods

i. The hood for every degree will be of the same size and shape and material as the standard pattern maintained by the University Registrar.
ii. The colour of the exterior of the hood for a bachelor's degree, except for the Bachelor of Teaching and Learning and Bachelor of Sport Coaching is Slate Grey (B.C.C.154) with a full satin lining of the appropriate colour as defined in Regulation 5(c) below. The colour of the exterior of the hood for the Bachelor of Teaching and Learning and Bachelor of Sport Coaching is Navy Grandslam (B.C.C.48).
iii. The hood for the Degrees of Bachelor of Arts with Honours, Bachelor of Commerce with Honours, Bachelor of Engineering with Honours, Bachelor of Fine Arts with Honours, Bachelor of Laws with Honours, Bachelor of Music with Honours, Bachelor of Science with Honours, and Bachelor of Teaching and Learning with Honours is the same as the respective bachelor's hood except that the lining is produced to form a narrow (25mm, 30mm for the Bachelor of Teaching and Learning with Honours) border on the exterior of the hood.
iv. The hood for a master's degree is the same as the bachelor's hood except that the lining is produced to form a broad (75mm, 65mm for the Master of Teaching and Learning) border on the exterior of the hood. The Master of Teaching and Learning neckband is Navy Grandslam lined in red satin with the satin lining extending over the outer edge to form a 10mm edging. For other master's degrees the neckband is faced with the same material as the lining.
v. The hood for the Degree of Doctor of Philosophy is of the same material and colour as the facings of the gown and lined with Slate Grey (B.C.C.154).
vi. The hood for a doctoral degree other than that of Doctor of Philosophy is entirely of silk in the colour of Slate Grey (B.C.C.154).

(c) Hood Linings

i. The colour for the lining of the different bachelor's and master's hoods is as follows:
ii. Arts: Baby Pink (B.C.C.14)
iii. Criminal Justice: Ice Blue (B.C.C.234)
iv. Commerce: Indian Yellow (B.C.C.6)
v. Education: African Brown (B.C.C.20)
vi. Engineering: Violet (B.C.C.179)
vii. Fine Arts: White (B.C.C.1)
viii. Forestry: Chestnut (B.C.C.60)
ix. Health Sciences: Emerald Green (B.C.C.213)
x. Law: Ice Blue (B.C.C.234)
xi. Music: White (B.C.C.1)
xii. Science: Ultramarine (B.C.C.148)
xiii. Social Work: Post Office Red (B.C.C.209)
xiv. Speech and Language Pathology: Magenta (B.C.C.198)
xv. Sport Coaching: Post Office Red (B.C.C.209)
xvi. Teaching and Learning: Old Gold (B.C.C.616)

(d) Headgear

i. The headgear for bachelor's and master's degrees is a trencher with tassel.
ii. The headgear for all doctoral degrees is a black bonnet as for the University of St Andrews.

(e) Neck-tabs

i. The necktab for the Bachelor of Teaching and Learning, the Bachelor of Teaching and Learning with Honours, the Bachelor of Sport Coaching and the Master of Teaching and Learning is Post Office Red satin (B.C.C.209) lined with an edging extending over the outer, visible edge by 10mm.