

# COUNCIL

## Te Kaunihera o Te Whare Wānanga o Waitaha

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**EMBARGOED UNTIL 4pm WEDNESDAY 30 OCTOBER 2019**

## Agenda

Date **Wednesday 30 October 2019**  
Time 4.00pm  
Venue Council Chamber, Matariki

Refer to  
Page No.

1. APOLOGIES: Ms Catherine Drayton, Mr Steve Wakefield
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 (25 September 2019) 1-5
4. MATTERS ARISING
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  - 5.3 Climate Change Petition 11
  - 5.4 2019 Council Work Plan
  - 5.5 Degrees Conferred in Absentia
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  - 6.1 Monthly Report 15-31
7. FROM AUDIT AND RISK COMMITTEE 33
  - 7.1 Health, Safety and Wellbeing Report 35-48  
(Mr Paul O'Flaherty, Director Human Resources, and Mr Steve Hunter, health and Safety Manager, in attendance)
  - 7.2 Audit New Zealand Audit Engagement Letter 49-64
8. FROM THE ACADEMIC BOARD 65-69

9. 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 25 September 2019 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.		
5.	Matters arising from those minutes			
6 6.1	<b>From the Chancellor</b> Emeritus Professor nominations	To protect the privacy of natural persons.	7(a)	
6.2	TEC letter requesting accommodation information	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)	
7.2 7.2.1	<b>From the Vice-Chancellor</b> The Vice-Chancellor's 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)	
8.0	<b>From the Finance, Planning and Resources Committee</b>	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)	
8.1	Draft minutes FPRC meeting 21 October			
8.2	Locke and Logie Budget Reset			7(h)
8.3	Haere-roa Budget Update			7(h)
8.4	UC Futures Summary Report			7(h)
8.5	Final GOG Report			7(f)(i)
8.6	Institutional Strategy Implementation Plan			7(f)(i)
8.7	Monthly Financial Report to 30 September 2019			7(h)
8.8	Movements in Financial Forecast Report			7(h)
8.9	Canterbury Cricket Trust Submission			7(f)(i)
8.10	Student First Report	7(f)(i)		

		To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	
9.0	<b>From the Audit and Risk Committee</b>		
9.1	Draft minutes ARC meeting 21 October	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	Internal Audit Status 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	Internal Audit Plan for 2020	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
9.4	IT Services Internal Audit Update	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
9.5	Internal Audit Procurement	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.6	Insurance Renewal Update	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
9.7	Strategic Risk 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)

**I also move that the Deputy Registrar, UC Directors and the University Council Co-ordinator be permitted to be present 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.**

10. REPORT FROM THE PUBLIC EXCLUDED SESSION
11. GENERAL BUSINESS
12. NEXT MEETING –Wednesday 27 November 2019



# COUNCIL

## Minutes

Date	<b>Wednesday 25 September 2019</b>
Time	4.00 pm
Venue	Council Chamber, Level 6 Matariki
Present	Ms Sue McCormack (Chancellor), Mr Steve Wakefield, (Pro-Chancellor), Professor Cheryl de la Rey (Vice-Chancellor), Mr Peter Ballantyne, Ms Liz Bond, Mr Sam Brosnahan, Ms Keiran Horne, Professor Roger Nokes, Mr Warren Poh, Ms Gillian Simpson, Mr Shayne Te Aika.
Apologies	Ms Catherine Drayton
In Attendance	Mr Jeff Field, University Registrar and Council Secretary Professor Ian Wright, Deputy Vice-Chancellor Mr Bruce White, Deputy Registrar

### CONFLICTS OF INTEREST

There were no conflicts advised.

### FROM THE CHANCELLOR

The Chancellor advised that there had been a sudden death of a student on campus and expressed great sadness over the tragedy. The University was providing support to the family of the student, affected students and staff.

### 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 28 August 2019 with the public excluded	These items concern matters that were previously dealt with during proceedings of Council from which the public was excluded.	
5.	Matters arising from those minutes		
6.1	Draft minutes FPRC meeting 16 Sept	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)
6.2.1	UC Futures Summary	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)

6.2.2	GOG Update	To enable the free and frank expression of opinions by or between or to members or officers or employees of the University.	7(f)(i)
6.2.3	Institutional Strategy	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)
6.3	Movements in Financial Forecast Report	To enable the University to carry out, without prejudice or disadvantage, commercial activities.	7(h)
6.4	Student First 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)
7.1	<b>From the Chancellor</b>		
7.1.1	Emeritus Professor nomination	To protect the privacy of natural persons.	7(a)
7.1.2	Report from Honours and Appointments Committee	To protect the privacy of natural persons.	7(a)
7.1.3	Innovation Medal	To protect the privacy of natural persons.	7(a)
7.2	<b>From the Vice-Chancellor</b>		
7.2.1	The Vice-Chancellor's 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)
7.3	Student Death	To protect the privacy of natural persons.	7(a)

*and that staff identified by the Chancellor and Vice-Chancellor as having knowledge relevant to particular matters to be discussed be permitted to remain at this meeting. This knowledge 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

## RETURN TO PUBLIC MEETING

Council returned to public meeting at 5.37pm and confirmed that Council:

- Had adopted the Institutional Strategy.
- Had awarded the 2019 Innovation Medal, noting that a public announcement would be made through the office of the DVC.
- The award of the title Professor Emerita to Professor Islay McLeod.

## MINUTES

The minutes of the meeting held on 28 August 2019 were approved and signed as a correct record.

## MATTERS ARISING

Professor Wright advised that he had written to the authors of the paper recommending the University join the Scholars at Risk Network outlining the actions required on their part, in providing a fuller and more detailed proposal for consideration.

A workshop on the level of preparedness of students was added to the Council workplan.

### **Chancellor's Meetings**

The schedule of meetings was noted for information. The meeting with Deaf Action had been positive and the Vice-Chancellor would ensure that the agreed outcomes would be delivered.

Moved

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

Carried

### **Council Work Plan 2019**

An updated copy of the Work Plan was tabled and Mr Field highlighted the changes made since the last meeting. It was noted that the Institutional Strategy would have an impact on a number of the proposed projects and the timeframes in which they were addressed would be subject to change.

Moved

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

Carried

### **Degrees conferred in absentia**

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

Moved

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

Carried

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

#### **Monthly Report**

Professor De la Rey presented her report noting:

- This was a pressured time of the year as exams loomed for undergraduate students.
- The success of the Women in Leadership breakfast with a 17% increase in attendance.
- Her visit to the AUT South Auckland campus to understand how AUT managed the relationships with the local community.
- Diversity Fest was running from 9 September to 11 October with a series of events promoting engagement with people from diverse backgrounds.
- The Times Higher Education ranking had been announced with UC remaining 4<sup>th</sup> in New Zealand in the 301-350 band.

In the ensuing discussion it was noted that:

- The Joint Operations Advisory Board (JOAB) had agreed to fund an additional counsellor in response to increasing demand.
- The causes of increased anxiety and depression were complex but internationally the incidence of these conditions was increasing significantly.
- There was strong evidence that participation in physical activity can mitigate the incidence of anxiety and depression.

Moved

**That: The Vice Chancellor's Report be received.**

Carried

**FROM THE  
ACADEMIC BOARD**

Professor Catherine Moran (AVC Academic) joined the meeting.

Professor Wright advised that he was an apology for the Academic Board meeting. Professor Moran presented the report from the meeting of the Academic Board noting the main agenda items. In particular she highlighted:

- The Academic Board had favourably considered the Institutional Strategy Framework.
- The Graduating Year Reports (GYR) occurred within three years of the first graduation cohort. The reviews and review processes were presented to the Committee on University Academic Programmes (CUAP) and peer reviewed by individual universities.
- Reviews of the following programmes were undertaken:
  - Master of Linguistics
  - Doctor of Musical Arts
  - Postgraduate Diploma and Postgraduate Certificate in Arts
  - Master of European Union Studies
  - DASH as a minor in the Bachelor of Arts and as a subject in the Certificate in Arts
  - European and European Union Studies as a major in the Bachelor of Arts
  - Master of Business Information Systems, Postgraduate Diploma in Business Information Systems
  - Bachelor of Criminal Justice
  - Master of Teaching English to Speakers of Other Languages
  - Postgraduate Certificate in Teaching English to Speakers of other Languages
  - Master of Teaching and Learning
  - Mater of Specialist Teaching
  - Master of Computer Assisted Language Learning
  - Graduate Certificate in Sport Coaching
  - Bachelor of Sport Coaching – endorsements
  - Certificate in Sport Coaching
  - Software Engineering in the Master of Engineering
  - Software Engineering in the Bachelor of Engineering with honours
  - Diploma in Global Humanitarian Engineering
  - Master of Hazard and Disaster Management and as a subject in the BSc, BSc(Hons) and PGDipSc
  - Biological Sciences in the PhD, MSc, PGDipSc and BSc(Hons)

In the ensuing discussion, it was noted that:

- Whilst some courses had small numbers there was generally a rationale for this that justified their continuation.
- In the post-earthquake environment a number of new programmes were launched. In hindsight, the emphasis had been on the quantity of new programmes rather than the sustainability of those programmes.

- The recommendations of some of the GYRs appeared inconsistent with the data provided.
- Continuation of some small programmes was a disservice to students if the programmes did not have a visible cohort of graduates or market recognition.
- Council was reliant on and expected management to identify and manage the programmes that were not sustainable.
- The Vice-Chancellor would continue to monitor and manage the programmes that were subscale.

Moved

***That: Council***

- i) note the report from the Academic Board and*
- ii) approve the Graduating Year Reports for forwarding to CUAP.*

Carried

**FROM THE  
FINANCE,  
PLANNING AND  
RESOURCES  
COMMITTEE**

**Student Experience Survey**

The report was taken as read and there were no questions.

Moved

***That: Council note the feedback from the Student Experience Survey.***

Carried

**GENERAL  
BUSINESS**

Council noted that a health and safety tour of the Chemistry Department had taken place on 16 September and that no major concerns were identified.

It was agreed that Ms Tori McNoe (UCSA President-elect) be invited to all Council and Committee meetings for the remainder of the year.

The meeting ended at 6.25pm.

**NEXT MEETING**

The next meeting is scheduled for 4.00pm on Wednesday 30 October 2019.

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

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



## Report to the Council from the Chancellor

The Chancellor recommends:

1. Chancellor's Meetings

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

2. Council Performance Appraisal Briefing

***That: Council note the briefing on the Council Performance Appraisal process***

3. Climate Change Petition

***That: Council receive the climate change petition.***

4. 2019 Council Work Plan

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

5. Degrees conferred in absentia

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

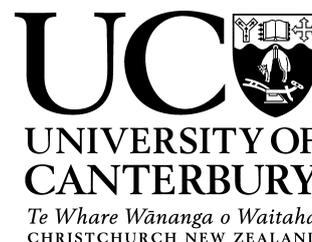
Ms Sue McCormack  
Chancellor  
23 October 2019



# Memorandum

## Chancellor's Office

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



<b>To:</b>	Council Members
<b>From:</b>	Sue McCormack, Chancellor
<b>Date:</b>	23 October 2019
<b>Subject:</b>	<b>CHANCELLOR'S MEETINGS</b>

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

- Met with Alumni staff
- Visited the MacMillan Brown Library
- Attended the Launch of Dawn Raids exhibition\*
- Presented awards at the UCSA Staff of the Year Awards
- Attended the UCSA Blues Awards\*
- Attended regular meetings with the Registrar
- Attended regular meetings with the Vice-Chancellor
- Attended regular meetings with the Registrar, VC, Mr Longden, Ms McClelland and others re the student death at Sonoda
- Met with Kit Toogood QC re investigation into the student death at Sonoda
- Officiated at the opening of the Beatrice Tinsley Building.
- Had lunch with the Tinsley family.
- Spoke at the Entre Annual Awards\*
- Met with a discloser
- Met with distinguished guests as part of the Antarctic season opening
- Met Chloe Swarbrick, MP on campus
- Met with Stephen Mills QC
- UC Gala Dinner event briefing
- Briefing on UC Appeals Committee business
- Attended Audit and Risk Committee meeting
- Attended a zoom meeting with Stephen Mills QC

Meetings planned between today and the Council meeting on 30 October:

- Hosting UC Gala Dinner\*
- On leave 24 – 29 October

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

Sue McCormack  
Chancellor



Kia ora Chancellor, Vice Chancellor, UC Management and Council,

My name is Ella Knobloch and I am a second year Bachelor of Science undergraduate majoring in Chemistry and Environmental Science.

On behalf of the University of Canterbury student body and the wider community in support, I would like to show our backing for the transition to renewable energy at UC.

- **We support the facilities management Low Carbon Energy Roadmap.**
- **We support the move to biomass boilers to be completed in 2021.**
- **We would like to propose that the long term goal to close the boiler house be moved forward and set to winter 2030.** This would require all heritage buildings be insulated and updated in order to be more efficient for heating via the ground source heat pump system.
- **We would also like to suggest the increased planting of native trees on UC land** to sequester the CO<sub>2</sub> emissions from the boiler system while this transition takes place.

As a community we believe that in the climate crisis the world is facing, the University of Canterbury needs to be a world leader in solving environmental issues; not only in how we teach but also in how we operate.

Thank you for your consideration, we look forward to hearing back from you.

Ngā mihi,

Ella Knobloch



## Report to the Council from the Vice-Chancellor

The Vice-Chancellor recommends:

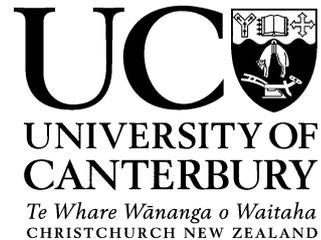
1. Vice-Chancellor's Monthly Report

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

Professor Cheryl de la Rey  
Vice-Chancellor  
23 October 2019



Professor Cheryl de la Rey  
Vice-Chancellor  
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**VICE-CHANCELLOR'S REPORT TO  
UNIVERSITY OF CANTERBURY COUNCIL OCTOBER 2019**

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## 1. OVERVIEW

The death of UC student Mason Pendrous and the length of time before his death was discovered has been the priority over the past weeks. Three investigations are in progress at the time of writing this report: by the police, the coroner and the independent investigation commissioned by the UC Council. On behalf of the UC community I have expressed our heartfelt sympathy to Mason's family and friends. Support has been provided to Mason's family and all affected students. On Friday 11 October Paul O'Flaherty (who has been in liaison with Mason's family) and I attended Mason's memorial service in Wellington. On Tuesday 15 October there was a blessing ceremony at Sonoda followed by the planting of a cherry blossom tree in the Ilam homestead gardens – family members, friends and fellow students attended.

Teaching has concluded for the 2019 academic year and students are busy with examinations and other requirements for academic progression. In the past weeks there have been a number of pleasing accolades and acknowledgements for UC staff and alumni. UC's Head of the School of Forestry, Professor Bruce Manley, was honoured with a Forestry Science Award for his dedication to and leadership of forestry research, and his innovative work on carbon forestry. Minister of Forestry Hon Shane Jones presented him with the award during a State Forest Service centenary event. The award reflects Professor Manley's extensive pioneering work as a leader of research groups focused on carbon capture by planted forests and analysing commercial forest resource quality, as well as his instrumental role in advancing the wider adoption of estate-modelling techniques in forest planning.

At the recent Westpac Business Awards, which celebrate the excellence, innovation and success of businesses and non-profits in Canterbury, UC alumni won both Supreme Awards. TASKA Prosthetics, led by Jamie Cairns, is a producer of the world's first waterproof myoelectric prosthetic, and won the Westpac Supreme Med-Large Business Award. Ethique, a zero-waste beauty brand led by Brianne West, won the Westpac Champion Supreme Award Small Business. Both companies are leading the way in developing new innovative products with rapidly growing global demand.

UC alumni were also well represented among the winners of many of the other award categories. Oliver Hunt, CEO of MedSalv, a new and emerging sustainable reprocessor of single-use medical devices, won the Christchurch City Council Champion Business for Good Award. Also notable was John Brakenridge, Chief Executive of NZ Merino, who won the Lyttelton Port Company Champion Med-Large Exporter Award for this innovative merino wool company, which supplies companies worldwide such as Allbirds and Icebreaker.

The two individual categories went to UC alumni as well. Anton Matthews from FUSH was recognised with the Emerging Business Leader Award for his dedication in revitalising te reo Māori in Ōtautahi, while Bruce Irvine received a Special Commendation for his business contribution to Canterbury. Overall it was an extremely successful evening for UC alumni, who are leading a range of new and established businesses that are making a real difference in Canterbury.

At the Royal Society 2019 Research Honours in Dunedin, the honour of Royal Society of New Zealand Honorary Companion was awarded to Sir Tipene O'Regan, retired UC Assistant Vice-Chancellor Maori in recognition of his eminent contributions especially in relation to the advancement of scholarship in traditional history and ethnology of Ngāi Tahu and Te Waipounamu as well as broader contributions to the tribal and Māori knowledge base.

The University has hosted several events over the past month. Notable among these was the official opening of the Beatrice Tinsley Building on the 1 October. The building was officially opened by the Minister of Research, Science and Innovation and UC alumna Hon Dr Megan Woods, in the beautiful atrium Whatukura, named after Tāwhaki and his ascent through the heavens in pursuit of knowledge. We were pleased that 11 members of the Beatrice Tinsley family were at the event and Brian Tinsley spoke on behalf of the family.

Diversity Fest 2019 took place from 9 September – 11 October as a vehicle for students and staff to promote activities and learning opportunities that celebrate and advance our unique, diverse and inclusive university culture, whilst acknowledging our values and respect for others. 30 unique events and activations took place over the five weeks with an estimated 5,000 people from UC and the wider community taking part. The theme for this year was ‘He waka eke noa’ – ‘A canoe on which everyone may embark’.

The feedback from Diversity Fest has been positive with both students and staff commenting on the value of this initiative and the fact that it has given diverse groups on campus a voice and encouraged people to learn more about each other’s differences while celebrating what we all have in common.

A highlight was the “Beyond Clicktivism: Activating social solutions” public lecture presented by Professor Ann Christiano and Ellen Nodine from the University of Florida. This brought 174 staff, students, and members of the public to the Ngaio Marsh Theatre to learn how to engage audiences beyond social media clicks and likes by telling stories and using pictures.

## **2. STRATEGIC MATTERS**

### **2.1 E Tū, Kia Ora –Strategy Development**

The UC Strategic Vision has been published in two forms: a short folded document that includes the themes and objectives; and an illustrated, contextualised and simplified version of the one that the Council approved at its September meeting. The Academic Board has been an integral part of the process and significant staff engagement has occurred throughout the development of the Strategy. Staff were briefed about the final strategy on 14 and 15 October at two well-attended open sessions (attracting about 400 staff) held in Haere-roa.

An overarching driver is an institutional commitment to engagement. A university that commits itself to engagement undertakes to deploy its expertise and knowledge to advance civic purpose and to foster public good. UC will continue to support staff who are engaged, empowered and making a difference, with the goal of increasing purposeful academic efforts to make a difference regionally and in the world. Through the Strategy, we have affirmed our identity as a medium-sized, research-intensive, comprehensive university. This will mean continuing to expand our education and research activities and the associated sources of revenue.

The next step for the Strategy is implementation which is likely to be challenging in a financially constrained environment. Using the detailed action plans that have been developed, we will be looking at feasibility, costings, timing and dependencies.

It is pleasing to note that the new strategy is already influencing academic thinking about new programmes and associated events. An example of this was the highly successful launch of the new UC MBA at an event hosted at Tūranga in the City. The launch was very well attended with over 120 people, and took the form of a panel discussion chaired by Graham Grant, Chief Operations Officer - Seequent Tech & Chair of the MBA Advisory Board. I was privileged to be one the panellists, who were Joanna Norris, Chief Executive Officer, Christchurch NZ, and Nick Carter, Partner at Brannigans. The event was sponsored by Brannigans and the UC Centre for Entrepreneurship.

### **2.2 UC Futures Programme – UC Ki Mua**

When UC Futures, the UC earthquake recovery programme, was initiated and agreed with the Government, the Government proposed an additional layer of governance for UC. This is a joint board made up of senior Government officials, in the majority, and UC Council members. The

Governance Oversight Group (GOG) met via teleconference on 20 September 2019 and agreed to recommend to the Minister that it disband. The underlying Crown Funding Agreement will remain in place as UC completes the final stages of our recovery programme, including enrolment recovery and the final accounts for the construction projects. All the construction is complete and the buildings occupied, while the last defects, warranties and commercial project settlement will be completed over the coming months.

### **3. STUDENT RECRUITMENT**

#### **3.1 Domestic Recruitment**

Conversion is progressing as the Liaison office continues course planning with individual students and their whānau. So far, over 2,300 students have completed course-planning for study in 2020. Applications to enrol officially opened in October until the soft-closing date of December.

As school visits have concluded, the team shifted focus to contacting students who were missed during the school visits.

The Pacific liaison officer accompanied colleagues from the Pacific Development Team on an outreach trip to Oamaru schools. As part of the trip, the visitors participated in the Pacific Tertiary Awareness Evening. One in four Oamaru residents is Pasifika.

UC Me 2020 recruitment is in full swing with over 200 initial applications. October sees the final students chosen and interviewed for the campaign next year. The Marketing team is creating new video and photo content before students leave, to be ready for February. All performance metrics are improving, including increased clicks – up 59% – and advertisement click-through rates, up 88%. In collaboration with the School of Business, we have launched a new Master of Business Administration (MBA) campaign via online, print and outdoor channels. It will have a distinct new look to communicate the new offering.

The Summer School campaign is in market with good initial results and will conclude mid-October. Other in-market campaigns include Bachelor of Laws (LLB), Bachelor of Criminal Justice (BCJ), Certificate in University Preparation (CUP) and Business Taught Masters.

The Calendar publication is set to print later this month and the team is gearing up for next year's 'Intro to UC' publications.

#### **3.2 International Recruitment**

International recruitment events for 2020 and future intakes were recently completed in Southeast Asia, Europe and South Asia. Northeast Asia (in particular China) recruitment events are underway involving International Relationships Office and China-based staff and are due for completion by the end of November.

The Study Abroad team attended a number of recruitment events in the United States throughout September, as part of the US Fall recruitment season, targeting prospective Study Abroad students for July 2020 and beyond. The team has visited and attended fairs at Syracuse University, George Washington University, Point Loma Nazarene University, Hampshire College, SUNY Brockport, SUNY Geneseo, University of North Carolina at Chapel Hill, Smith College, Mount Holyoke College, Colorado School of Mines, Iowa State University, University of Redlands, Duke University, Pace University, Northeastern University, Wheaton College, UC Berkeley, University of

Massachusetts Amherst, Princeton University and Ithaca College. A new Study Abroad agreement was signed with DePauw University, which will commence in 2020.

The Partnerships team recently developed and distributed promotional materials to key partner institutions in Malaysia and China: KPM, UniKL, INTEC, Tianjin University and Northwestern Polytechnic University.

## **4. STUDENT EXPERIENCE**

### **4.1 UC Careers**

Student engagement with the UC Careers online interactive tool, Abintegro, continues to be high with over 3,600 users and over 32,000 activities this month. CV360, a new feature that scores and provides instant feedback on uploaded CVs, is also popular: over 600 UC student CVs were uploaded in the first week and scores and feedback were provided for about 400 of them. Abintegro frees up career consultants to spend time with students on more complex career-development issues. Feedback on the tool from students has been very positive.

Over 9,000 students have interacted with employers on campus through employer presentations and/or careers fairs in the year to date.

### **4.2 Student Care**

Student Care continued to experience an increase in the numbers of students accessing services during September. Compared with the same time last year, 1,138 more students have used Student Care services in the year to date. The new Student Incident Response Plan SharePoint system was used this month for the first time to record and provide timely updates to the Senior Management Team and other key stakeholders.

As per a request from the New Zealand Qualifications Authority (NZQA), UC has requested all accommodation services ensure all students staying with them, including international students, are safe, well and properly cared for.

Two proposals were submitted for the International Student Wellbeing funding initiative:

- producing videos to demonstrate effective intercultural communication behaviour in a UC context
- i-connect: social inclusion programme.

### **4.3 Student Experience Team (SET)**

The Student Experience Team completed its leadership recruitment process, through which it has offered 35 positions on the Emerging Leaders Development Programme (ELDP), Go Canterbury and UniLife for 2020. UC Mentoring recruited 47 new mentors, bringing the team to 64. ELDP alumni supported the 2020 cohort shortlisting process by scoring over 1,200 applications in one week. This rigorous process was well received by the Scholarships Committee and will be repeated in 2021.

Go Canterbury ran an 'Amazing Race' to consolidate students' knowledge of the support and services available on campus as they move into their second year. A sunny day in Akaroa on Saturday 28 September gave the students an opportunity to take a break from their studies and spend quality time

with friends. As one student commented, “This was one of my favourite trips ... When times get hard mentally during exam periods, it'll be memories of trips like these that help me out of that mind-set.”

#### **4.4 Equity and Disability Service**

UC recently hosted Oxford Scholars for three weeks. During their visit, the scholars undertook an exploratory project examining what steps UC could take to create a more inclusive environment for international students, and to facilitate meaningful interactions among UC's diverse students to help internationalise students' experiences. They carried out research, interviewed many staff from key areas, and outlined their recommendations in a written report and oral presentation.

Three recommendations were put forward for the Joint Operations Advisory Board and the Central Equity and Diversity Advisory Committee to discuss:

1. Set up small, compulsory, student-led group workshops for new students on topics such as bicultural competence and confidence, implicit bias and consent.
2. Implement a whānau/family system similar to what is commonly found at UK universities, whereby students are grouped according to subject area into a small 'family'.
3. Increase the proportion of alcohol-free events, and ensure that they are not merely alternatives to events with alcohol available, but fully fledged, independent events.

Many events took place over September during Diversity Fest 2019 to celebrate the many cultures at UC.

Week one focused on Māori Language Week. Key events included: Te Wiki o Te Reo, Taupatupatu, Café Reo and Māori board games. Week two centred on education and faith based events as part of our UC Islam Awareness Week. Key events included an inter-faith dialogue over two days featuring an internationally renowned Muslim Professor from Australia, a Priest, a Rabbi and an Atheist speaker – followed by a religious Q & A community session. Week three focused on Mental Health Awareness week and included events such as the 'Whanaunga from another Maunga' Business and Law event which had approximately 700 people in attendance and involved supporting student well-being and breaking down loneliness on campus.

Week four and five focused on student club events, Fijian Language Week and LGBTQI+ events. A highlight in week five included the 'Beyond Clicktivism: Activating social solutions' public lecture presented by Professor Ann Christiano and Ellen Nodine from the University of Florida. This brought 174 staff, students, and members of the public to the Ngaio Marsh Theatre to learn how to engage audiences beyond social media clicks and likes by telling stories and using pictures.

#### **4.5 Wellness Services**

##### **4.5.1 Rec & Sport**

Two University and Tertiary Sport New Zealand (UTSNZ) tournaments – in basketball and netball – took place in September. The UC netball team finished third while the UC men's and women's basketball teams finished second and fifth respectively. After 10 tournaments throughout the year,

UC finished a respectable third overall out of the eight New Zealand universities – moving up from last year’s fourth place.

Rec & Sport hosted a visit from the Paralympics NZ CEO and High Performance Director to strengthen the existing relationship and discuss further collaboration. Their visit included a tour, which encompassed the Biomechanics lab in K1, the Human Interface Technology Lab (HIT Lab NZ) and Mechanical Engineering department, as well as the opportunity to engage with various UC staff around potential partnerships.

Over the year, 44 students have participated in the Sport and Fitness Academy, the majority of whom are high-performing athletes at the top level of their chosen sport. This number of participants represents an increase of more than 100% compared with 2018. This increase is particularly impressive given students faced no cost for their participation in 2018 whereas a user-pays programme was introduced in 2019.

RecCentre memberships continued to grow, reaching a total of 9,445 at 30 September. Of these, 1,518 were postgraduate and 7,474 were undergraduate students. The remaining 453 were other memberships, comprising 199 staff and 254 members in the community, alumni/affiliate and non-UC-student categories.

#### **4.5.2 Health Centre**

Demand for mental health support services has continued to challenge Health Centre resources. Consistent with this year’s trend, demand for counselling appointments increased by 24.3%, significantly above the previous year’s figures. This demand placed pressure on the wait-time. However, as the Health Centre team adopted the new triage role and used flexible contractors (especially in March and April), it has been largely able to manage this increase within budget and has kept the average wait-time to about 9.2 days in the year to date. In the context of the response of broader community health services to a general increase in demand, this is a very good result.

### **5. STAFFING, HEALTH AND SAFETY**

In the year since 30 September 2018, academic staff levels have risen by 51.5 full-time equivalent staff (FTE), mostly in college areas that are experiencing growth in student numbers. Over the same period, there has been an increase of 3.9 general staff FTE (5.4 increase in colleges, 1.5 decrease in service units). College technical staff levels have increased by 4.7 FTE.

My thanks to staff who did a good job of supporting colleagues who were working in Japan during the recent typhoon. Staff were never in danger but it is good to confirm that we have good systems for identifying staff and student overseas and for supporting them.

A new Health, Safety and Wellbeing plan has been developed for the next twelve months. As well as business-as-usual activity, it focuses on Wellbeing at Work, further capability building for those staff responsible for higher risk areas, refreshing the online resources available for staff, investigating a replacement Health and safety management system and implementing a new hazardous substances tracking and management system.

The 2019 Health Monitoring programme has included lung function and hearing testing for over 200 staff who are working in dusty or noisy areas, and 64 skin tests for staff exposed regularly to UV.

## **6. LEARNING AND TEACHING**

Teaching staff and students are well into the exams. At the end of the semester two exam period, there will have been approximately 343 exams and 10,499 students will have sat one or more exams. For many students, the end of exams does not signal the end of the learning year: approximately 1,300 are expected to be enrolled in Summer School and our postgraduate students will continue their research through the summer.

U-Count survey results are in and reporting has been completed. U-Count surveys all course takers from 200 level up to thesis students. Ensuring academic staff have the skills and resources to respond to the issues raised in the survey will be a part of the focus of teaching development workshops. Development of the teaching workshops is well underway, and sessions will begin in February.

Measuring teaching quality is the subject of a ‘Task and Finish’ group appointed by the Learning and Teaching Committee. Group members include 12 academic staff with a particular interest in the way UC measures teaching quality and how those measurements are applied. Findings will be useful in supporting better teaching at UC as well as feeding into the promotions process. This work is about to commence and a report will be presented to the Assistant Vice-Chancellor (Academic) and Human Resources by December.

### **Children’s University**

Children’s University welcomed 80 children on to the campuses of the University of Canterbury, Lincoln University and ARA during the October school holidays. In the two experiences available at UC, the children and their parents participated in a range of activities run by academics from the College of Arts and the College of Science.

The focus of the Children’s University team now shifts to the graduation on 20 November. It is expected that over 130 children will graduate. All University Council members and the Senior Management Team have been invited to attend.

## **7. RESEARCH**

The results of the MBIE 2019 Endeavour Fund round have been announced, from which UC secured over \$16 million in awarded proposals either as the lead, or as a partner led by another university or CRI. This is the highest success ever in terms of funding from the Endeavour Fund. Professor Conan Fee (Product Design) was successful in securing funding for a large Research Programme to work on “3-D printed porous media for process engineering” over five years. Two Smart Ideas – “Integrated biomass gasification with chemical looping and oxygen uncoupling for H<sub>2</sub> production and CO<sub>2</sub> capture” led by Professor Shusheng Pang (Chemical and Process Engineering) and “Development of a multi-axis spin-coating system to coat curved surfaces” led by Professor Mathieu Sellier (Mechanical Engineering) – were each funded for three years.

Thirteen other UC researchers are collaborating investigators on eight other Smart Idea or Research Programmes across a swath of research topics related to subsurface braided river hydrology, carbon-dioxide-free production of essential metals, reducing prison violence, Mt Taranaki volcanic hazards, extreme weather events and climate change, metabolic conversion of methane to polymers, pest eradication, and underwater autonomy for mussel farming.

Professor Richard Green and Dr Grant Pearce have been selected via a competitive process to be part of a New Zealand science delegation to visit Singapore. Each will contribute to developing collaborative research programmes – Professor Green in Data Science and Dr Pearce in Future Foods. These collaborative programmes will, in part guide future MBIE investment to support bilateral

research between New Zealand and Singapore. Professor Green will lead the joint working group on 3D spatial data science for agricultural and urban applications.

Dr Volker Nock (Electrical and Computer Engineering), current Director of UC's Biomolecular Interaction Centre, has been recognised with a prestigious five-year Royal Society Te Apārangi Rutherford Discovery Fellowship. With this funding, he will accelerate his research into saving native trees from fungal pathogens using novel lab-on-a-chip technology as a way of better understanding how plant diseases such as kauri dieback and myrtle rust target and invade their hosts.

The Research and Innovation office has recently been reviewing UC's record of research commercialisation. Since June 2017, UC has been awarded MBIE funding to progress 45 Tier-1 PreSeed Accelerator Funding projects. Of these 45 projects, four have formed start-up companies: 2.2G Force – seismic damping technology; NPX Environmental – nitrogen and other pollutant sensing network with Astrolab and Ravensdown; Dock Bio Holdings – finding active sites on target proteins, with Astrolab; and Transfection Holdings – drug transfection technology, with Astrolab.

In addition, UC is making direct sales for “The Storminator” and the “Cricket GR8” app; licensing the Piezoelectric Pipeline Condition Assessment Device and the Hazard Assessment Test; partnering with Adelaide Enterprise on commercialising gold clusters as catalysts; collaborating with Kukri on the commercialisation of innovative rugby headgear; and actively pursuing commercial outcomes for six other Tier-1 projects. A further success is that one of the Tier-1 projects has received MBIE Smart Ideas funding of \$1 million.

## **8. POSTGRADUATE RESEARCH**

A new location for “Thesis House” – where postgraduate students can write up their theses – has been agreed on Creyke Road, after the previous location was reallocated for use by the UC Muslim University Students' Association. The new venue will have bookable rooms available to students for thesis writing and deep-thinking work in a quiet environment.

The Asia-Pacific 3MT competition, which brings together 56 universities from across Australia, New Zealand, Oceania, North-East Asia and South-East Asia, was held at the University of Queensland on 4 October. UC's representative, Eloise Smith, gave an excellent presentation.

The Academic Board has approved a change in the approach to UC doctoral scholarships allocation, moving it from a twice-yearly batch to a continuous process. The new process will provide certainty and timeliness for scholarship funding (and hence enrolment) for doctoral students who have exceptional grade point average scores. Associate Dean Ekant Veer and the Scholarships Office have begun its implementation.

## **9. BICULTURALISM**

The Office of the Assistant Vice-Chancellor (AVC) Māori has completed its first full team planning wānanga. Colleges and service units will continue to be supported by existing Kaiārahi until new Kaiārahi take sole lead with their colleges and service units from 31 October. Handover meetings are being scheduled with all Senior Management Team members during October.

AVC Māori, Dr Darryn Russell, was involved in leading a New Zealand delegation to Brasilia in October, as Chairperson of Te Kahui Amokura and the New Zealand Vice-Chancellors' Committee on indigenous internationalisation. The New Zealand Summit formed part of an international conference on revitalisation of indigenous and minoritised languages at the University of Brasilia and

was funded by the United Nations Educational, Scientific and Cultural Organization (UNESCO), as part of the international year of indigenous languages. A New Zealand representation cohort of 10 attended and some 300 participants shared the day, hearing about experiences with indigenous language revitalisation and development in Aotearoa. The aim is to build inbound and outbound exchanges for collaboration among students and academic staff on research and other work in areas of commonality including: teaching methodology and pedagogy; issues with land and territory; teaching resources; and legislation and policy for indigenous rights and language revitalisation.

Kaiurungi (Māori Student Advisors) are seeing a steady stream of Māori students for pastoral care appointments. Kaiurungi recently attended Te Toi Taurira Conference to share Māori student recruitment, retention and achievement initiatives led by the Office of AVC Māori and to network with Māori student advisors across other tertiary institutions in Aotearoa.

Tamahou Thoms received the inaugural Waewae Kai Pakiaka: Outstanding contribution to the Māori Community award at the Blues awards in September, where Hinerangi Curtis also received a Community Blues award. Among their many achievements, Tamahou and Hinerangi have also been Tuākana student mentors, engaged in and supporting various Office of AVC Māori student retention initiatives.

## 10. FINANCES

<b>September 2019</b>	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)
Net Surplus/(Deficit)	7,099	(663)	7,762	2,080	9,051	6,971
Capital Expenditure	73,182	95,243	22,061	123,637	106,415	17,222
Cash/ Short Term Investments/ Short Term Government Stock	306,626	262,721	43,905	173,363	201,697	28,334

UC had been budgeting for an operating deficit as at the end of September 2019 of (\$0.663) million, but has returned an operating surplus of \$7.099 million.

This is a favourable variance to budget of \$7.762 million. This favourable variance mainly relates to \$8.652 million less operating expenses (largest savings are in consultancy expenses, contract teaching, contract research, and asset purchases <\$2,500, partially offset with higher commissions and levies).

Other favourable variances relate to a \$2.850 million reduction in the retiring allowance provision, based on the 30 June actuarial valuation, compared with an expected increase in provision of \$1.500 million that was in the budget, resulting in a \$4.350 million favourable variance; \$2.001 million less depreciation; \$1.564 million more interest income; and \$0.750 million more net profit than was realised in May on the Fire and Emergency New Zealand deal due to lower demolition costs than had been budgeted for.

This favourable variance has been partially offset with unfavourable variances coming from (\$1.688) million less (non-research) income from UC Foundation/Trusts, (\$3.705) million less tuition income

including Student Achievement Component funding, (\$1.466) million less Performance-Based Research Fund (PBRF) income following recent reassessment of UC PBRF-related performance, and (\$1.601) million less research external income.

UC continues to forecast a surplus above budget for the full year. Expected reductions in revenue in relation to international tuition fees and PBRF are offset by improved interest revenue and external research revenue, with savings in personnel and depreciation expenditure.

Capital expenditure is \$22.061 million below budget. Of the expenditure incurred to date, \$19.515 million is UC Futures related (Rutherford Regional Science and Innovation Centre, Rehua and Canterbury Engineering the Future) against a year-to-date budget of \$31.006 million, much of which relates to programme delays and final account payment requests yet to be received for the larger building projects.

The September 2019 cash position of \$306.626 million is higher than budget by \$43.905 million due largely to higher than expected balances at 31 December 2018, and lower capital spend.

The 2020 year is forecast to be a financially challenging year as we won't have the one off revenue items from the sale of property and insurance claim that we have had in 2019 and the flow on impact from a lower 2019 student cohort than budgeted will impact in 2020. We have financially benefitted in 2019 from the slower close off of the major construction projects which has meant our depreciation has been lower and our interest earned has been higher – this won't be the case in 2020. The expected surplus for 2020 is \$3.8M which represents 0.9% of our total revenue. The Tertiary Education Commission expectation for University's is 3.0% - 5.0% of total revenue so we remain somewhat short of this mark.

For further details, please refer to the latest monthly financial report.

	Headcount			EFTS		
	Applications to Enrol			Full Year Enrolled		
	Applications (13/10/2019)			Actual	Actual	Budget
	2018	2019	2020	2017	2018	2019
<b>Domestic 1st Year</b>		3,081	3,968	3,262	3,662	
<b>Returning</b>		1,278	1,915	8,409	8,704	
<b>Total</b>	=	<u>4,359</u>	<u>5,883</u>	<u>11,671</u>	<u>12,366</u>	<u>12,972</u>

<b>International 1st Year</b>		2,875	3,206	744	922	
<b>Returning</b>		69	148	674	781	
<b>Total</b>	-	<u>2,944</u>	<u>3,354</u>	<u>1,418</u>	<u>1,704</u>	<u>2,019</u>
				-	-	
<b>Total</b>	-	<b>7,303</b>	<b>9,237</b>	<b>13,089</b>	<b>14,069</b>	<b>14,990</b>

Budget and Forecast is not calculated down to year at UC.

Enrolment data is based on the same date across years, i.e. 6 Jan vs 6 Jan.

Applications to Enrol data is now reported on the same date across years, i.e. 6 Jan vs 6 Jan.

ATE data is based on student headcount and on student citizenship status rather than fee type. Enrolments data is based on EFTS and the student fee type (Domestic or International).

“International” refers to students’ New Zealand citizen/residency status rather than their fee paying status. Most but not all international students will pay international fees. As PhD students generally pay domestic fees, this table groups them with domestic students.

## **11. MAJOR PROJECTS & FACILITIES**

### **Major Building Projects**

**Rutherford Regional Science and Innovation Centre 1 and 2 programme:** Fletchers is slowly addressing the few remaining incomplete defects on the Ernest Rutherford building in accordance with the contractual requirements. After the Beatrice Tinsley building was awarded a Certificate for Public Use (CPU) in the week prior to the official opening on 1 October, occupancy of the building began almost immediately and is now complete. Defect rectification will continue.

**Canterbury Engineering the Future:** The ECU fan and motor upgrades have been completed. This project is now closed.

**Rehua:** The project is complete and within budget. The number of outstanding defects is now minimal and these defects have no material consequence on the occupiers. UC and Hawkins are currently negotiating a mediation activity to close out commercial aspects of the project.

**Haere-roa (UC Students’ Association building):** The building is occupied and operational under a CPU. The Practical Completion (PC) approval targeted date has slipped to late October due to a number of incomplete minor works and compliance documentation required under the contract. A paper is being presented to Council, given the project budget ‘best to worse case’ is predicted to exceed the approved budget by between \$250,000 and \$1 million.

**Garden Hall (Homestead Lane):** The project is currently progressing on or ahead of programme. The Eastern Tower Steel installation is complete. Structural fabrication offsite is continuing for the

Western Tower, together with roof fabrication, in preparation for installation on site in early October. Concrete flat slab floors are progressively being installed and poured.

**Logie and Locke:** CPU has been awarded for the Logie building and reoccupation commences in October in accordance with the programme. The Locke building is expected to be reoccupied in June 2020. As all of the asbestos products have now been removed in the Locke building, Asset Management Plan (AMP)/refurbishment works have been initiated on Levels 2 and 5 with no further commitment planned until after Council reviews a budget reset paper in its October meeting.

**School of Product Design growth:** The final phase of this project will now commence as Science College occupants relocate to the Beatrice Tinsley building in October.

**Wheki building:** This project enabling relocation and consolidation of IT Services together with Human Resources on Dovedale campus is on programme. Occupation of the building is planned from between mid-November to mid-December 2019.

**RecCentre:** A preliminary design presentation was made to the Project Control Group (PCG) in mid-September and the team was subsequently requested to address a number of design cost pressures. The PCG's final review and endorsement is planned to occur this month.

**Low-carbon Ilam boiler replacement project:** A final business case is being prepared for Council consideration in November.

## **12. UC LIBRARY | NGĀ PUNA MĀTAURAKA O WAITAHA**

Preparation is well underway for an upgrade to LEARN (the University's learning management system). This upgrade to the software will also be an opportunity to incorporate and develop the staff survey feedback on appearance and navigation in LEARN received earlier in the year.

The Library contributed to UC's celebration of Te Wiki o Te Reo Māori by hosting the opening and closing events for the week, advertising UC-wide events as well as having participatory activities and sessions for Library users in each library and online each day. In the trial Makerspace, students made Te Reo badges and participated in kēmu (games).

Ebook use for September is up 25% on September 2018. Of the vendor packages, Springer (mainly science and engineering) and Proquest (mainly business and humanities) titles have shown the greatest increase.

## **13. IT SERVICES | TE RATONGA TAUTOKO HANGARAU**

IT Services is currently developing a Cloud/Digital Transformation Strategy with an associated five-year implementation plan. In conjunction with this, a number of initial discussions have taken place with vendors who provide specialist services in cloud migration, as the University will require support for transitioning its environment to the relevant cloud platforms.

A review of IT Services' IT patching process and cycle is being undertaken as a result of learnings from the Payment Card Industry Data Security Standard (PCI DSS) project.

The IT Transformation is finalising the last activities associated with the transition of workloads to the appropriate teams within the new structure. On closure of these activities, IT Services will be operating in its new mode and working with business users to deliver better-quality outcomes faster.

## **14. COMMUNICATIONS**

In September, over 100 media queries were handled, which included multiple requests from more than 30 reporters about the Sonoda student death. Other media queries were about racism and white supremacist posters, LAWSOC Revue, freedom of speech, the LGBTQI+ community, Health Centre counselling, 15 March mosque attacks, the future of technology, fish oil research, Kate Sheppard's House, digital hate research, Canta, the history of zero (sparked by a UC Connect public lecture by Professor Clemency Montelle), and local elections and democracy, among other topics.

The following UC media releases/news stories appeared in external media in September/October:

- Beatrice Tinsley building opening a milestone for science at UC
- Statement from Vice-Chancellor
- Hon Kit Toogood QC to lead University investigation
- Kate Sheppard House purchase delights
- New data analysis proves: Science is sexist
- Solutions to Online Hate weekend brings experts together
- UC Connect public talk: Why on earth would you drill into a magma chamber?
- Inspiring students to change the world (new BYCL degree)
- UC recognises the School Strike 4 Climate NZ
- Canterbury student heads to Chile, Antarctica to join Youth Expedition

UC Connect public lectures in September and, to date, October have been sold-out events. On 18 September, UC's first Distinguished Erskine Fellow British physicist and materials scientist Sir Colin Humphreys, Professor of Materials Science at Queen Mary University of London, Distinguished Research Fellow at the University of Cambridge and a Fellow of Selwyn College Cambridge presented a UC Connect lecture to a capacity audience on "Science and Religion: are they compatible?" On 25 September, Professor Clemency Montelle presented "Good for Nothing! An illustrated mathematical history of zero". Hundreds attended the lecture, which focused on the use of zero in history as both a placeholder and a historical symbol.

On 3 October, UC Connect lecture, "Artemis: the future of deep space exploration", was presented by National Aeronautics and Space Administration (NASA) senior engineer and UC Erskine Fellow Tim Atkins, who explained how the Artemis Program will establish a sustainable human presence on the Moon. On 9 October, the winner of the UC Teaching Medal Associate Professor Ben Kennedy presented his interactive UC Connect talk "Why on earth would you drill into a magma chamber?" The UC Connect public lecture series takes place on campus and most lectures continue to sell out weeks before and achieve about 50% attendance (standard for a free public event).

### **14.1 Engagements with Alumni and Donors**

UC Foundation income year-to-date was \$6.1 million, including 1,489 donations from 770 individuals, corporates and foundations. Of this, \$4.1 million has been distributed to projects across

the University. UC's Rose Centre for Stroke Recovery and Research received confirmed written pledges of support amounting to \$1.1 million, which will be realised over the next five years from three foundations and two individuals.

The Golden Graduates afternoon tea welcomed over 130 guests. The event in the UC Students' Association (UCSA) building, Haere-roa, was hosted this year by Engineering Pro-Vice-Chancellor Professor Jan Evans-Freeman. The guest speaker, visiting UC Erskine Fellow Professor Sir Colin Humphreys, was well received by the distinguished guests.

The UC Foundation was delighted to welcome 11 members of the Beatrice Tinsley family. The family members, who travelled from Phoenix, Dallas and Wellington, were thrilled to see Beatrice's name and her passion for science, research and education recognised in this way and they expressed hope her story would inspire other female scientists for generations to come. The family also visited the UC Arts city location in the Christchurch Arts Centre, where Beatrice and Brian Tinsley studied.

## **15. COLLEGE SUMMARIES (PROVIDED BY PRO-VICE-CHANCELLORS)**

### ***College of Arts / Te Rāngai Toi Tangata***

The College of Arts has much to celebrate this month. All staff are proud of the improved ranking for Arts and Humanities in the Times Higher Education Subject Ranking: up to 201–250 from 251–300.

The College heartily congratulates two of its members: Dr Masayoshi Ogino (Japanese) for winning an Ako Aotearoa national teaching award for Sustained Excellence in Teaching and Associate Professor Bronwyn Hayward (Political Science and International Relations) for winning the Supreme Award at the UC Sustainability Awards earlier this month.

The College is also pleased with the approval of the 180-point Masters in Applied Translation and Interpreting at the September meeting of the Committee on University Academic Programmes.

Finally, now that the remediation of the Logie building has been completed, staff in several departments in the College are looking forward to moving back into newly refurbished and more sustainable offices.

### ***College of Business and Law / Te Rāngai Umanga me Te Ture***

Over 40 students and staff attended the 2019 College Postgraduate Research Symposium on 24 September. Students from all departments presented research on a wide range of topics, including women's experiences of working in the construction industry, consumer adoption of meat-free foods, the underlying mechanisms of social media use, and understanding the impact of China's One Child Policy on family savings rates. Professor John Hopkins hosted an international colloquium on "Regional Approaches to Anti-Corruption in the South Pacific and Europe" in the Law School. Presenters included Professor Susanne Reindl-Krauskopf and her assistant Lisa Rösler, both from the University of Vienna, Associate Professor Graham Hassall of Victoria University of Wellington, Dr Hannah Harris from Macquarie University, and Ms Sofia Shah from the University of the South Pacific, as well as UC LLM student Natach Wisst. Guests included representatives from the Ministry of Foreign Affairs and Trade, the Serious Fraud Office and Transparency International.

On 14 October, UC Finance, Economics and Mathematics students broke a 10-year drought to win the 2019 national Chartered Financial Analyst (CFA) Institute Research Challenge finals. The five-member team, supported by coach Chris Wakefield (Masters Applied Finance and Economics and former President, UC Investment Society) and industry advisor Nick Webb (Westpac credit trader

and UC alumnus), beat teams from the other seven New Zealand universities, securing a place for UC to represent New Zealand at the Asia Pacific (regional) finals in Seoul, South Korea. For the New Zealand finals, all teams had to prepare a professional valuation report and presentation pitch on Z Energy Limited (NZX: ZEL). This challenge was highly topical in the wake of supply shocks resulting from the recent Saudi Arabia oil attacks, as well as the controversial Commerce Commission inquiry into and report on the profitability of downstream fuel retailers in New Zealand.

### ***College of Engineering / Te Rāngai Pūkaha***

The visit of UC's first Distinguished Erskine visitor in September was extremely successful. Professor Sir Colin Humphreys CBE, FRS, FEng, FIMMM, FInstP delivered several well-attended lectures and spoke to stakeholders ranging from students to alumni to MBIE. His UC Connect lecture notably had about 500 attendees. He assured the College that, on his return to the United Kingdom, he will facilitate new connections between College staff and Cambridge. In his Erskine report, he also complimented the standard of the College's undergraduates and compared them favourably with students in the Russell group universities in the United Kingdom, where he has taught.

The New Zealand Council of Engineering Deans recently provided a robust response to the NZQA proposal to downgrade the New Zealand four-year Engineering degree, BE(Hons), from a Level 8 to a Level 7 qualification. This was seen as a hugely risky and unnecessary move, which would place the New Zealand BE(Hons) degree at an inferior level to all equivalent international degrees, and NZQA had presented no facts to support the suggestion. The College's response was in line with that of Universities New Zealand and other submitters.

The College was delighted that Dr Volker Nock (Electrical and Computer Engineering) was awarded a Rutherford Fellowship. Coincidentally, Volker was one of the staff closely involved with Sir Colin during his time here and will have the opportunity to strengthen that connection with the United Kingdom community of researchers.

### ***College of Education, Health and Human Development / Te Rāngai Ako me Te Hauora***

On 25 September, the College of Education, Health and Human Development was thrilled to host the official launch of its much anticipated Bachelor of Youth and Community Leadership. The launch in Te Moana Nui a Kiwa was well attended by UC's student leaders, local schools, prospective students and family members, and community stakeholders. Enrolments are now being received for the 2020 intake to the degree, which foregrounds UC's Graduate Attributes in providing a unique and specialist degree for activists, humanitarians, social entrepreneurs and youth leaders.

On 26 September, the College was proud to co-sponsor the powerful and insightful Dawn Raid Lecture by Dr Pauline Smith and the Polynesian Panthers. The lecture was part of the "Dawn Raids: Educate to liberate" exhibition and public talks series being hosted by the UC. It was a powerful and insightful lecture.

From 30 September to 1 October, 10 staff from across the College were funded to attend a two-day "Future of Learning" national conference where international and local experts in their fields led participants on a journey of future technology scenarios and possibilities. The range of topics explored related to exponential technology change, use of digital tools, future skills, strategic foresight and innovative learning approaches. The College's e-learning lab will take the lead in transferring the insights from the conference to the practice of the College, and beyond.

### ***College of Science / Te Rāngai Pūtaiao***

On 1 October, the College of Science celebrated the opening of the Beatrice Tinsley building. It was an honour to host 11 members – and three generations – of the Tinsley family for the celebrations, as well as the Minister of Research, Science and Innovation, the Hon Dr Megan Woods.

On Monday 16 September, the College launched the new Te Kura Aronukurangi | School of Earth and Environment. The restructuring of the College into four new schools has been a major change process involving a huge amount of collective work. The College is grateful for the various contributions to this change process that people from across the University have made.

Professor Wendy Lawson has been seconded to assist the Vice-Chancellor and Deputy Vice-Chancellor on projects related to research and innovation projects, including the establishment of a joint postgraduate and research initiative with Lincoln University and relevant CRIs.

Professor Janet Carter will be Acting Pro-Vice-Chancellor Science for the duration of Professor Lawson’s secondment.

## 16. VC Activities

	<b>Past Events</b>
2 October 2019	<ul style="list-style-type: none"> <li>Spoke at the Beatrice Tinsley building opening</li> </ul>
3 October 2019	<ul style="list-style-type: none"> <li>Met with Vice-Chancellor of the Federal University of Kashere, Nigeria</li> </ul>
6 October 2019	<ul style="list-style-type: none"> <li>Attended UNESCO NZ Youth Forum Closing Ceremony</li> </ul>
9 October 2019	<ul style="list-style-type: none"> <li>Met with Hon Grant Robertson at UC’s School of Fine Arts</li> </ul>
10 October 2019	<ul style="list-style-type: none"> <li>Attended Universities New Zealand meeting in Wellington</li> </ul>
14 October 2019	<ul style="list-style-type: none"> <li>Addressed the Ilam community meeting</li> <li>Presented the new strategy at an all-staff forum – UC Strategy</li> </ul>
15 October 2019	<ul style="list-style-type: none"> <li>Presented the new strategy at an all-staff forum – UC Strategy</li> <li>Attended Sonoda blessing and tree planting ceremony</li> </ul>
16 October 2019	<ul style="list-style-type: none"> <li>Attended Alumni Speaker Series in Dunedin</li> </ul>
17 October 2019	<ul style="list-style-type: none"> <li>Met with Otago Boys’ High School Rector</li> <li>Met with King’s High School Rector</li> <li>Attended Royal Society of New Zealand Te Apārangi research honours dinner in Dunedin</li> </ul>
18 October 2019	<ul style="list-style-type: none"> <li>Visited Otago University</li> </ul>
21 October 2019	<ul style="list-style-type: none"> <li>Guest speaker at the opening of the Medbury School Foundation building</li> </ul>
22 October 2019	<ul style="list-style-type: none"> <li>Hosted Liberty Oberlander (Deputy Head of Membership of the Association) on campus</li> </ul>
23 October 2019	<ul style="list-style-type: none"> <li>Attended and hosted UC Gala Dinner</li> </ul>
24 October 2019	<ul style="list-style-type: none"> <li>Provided welcome at the School of Biological Sciences Annual Biology Conference</li> <li>Met with President of New Zealand Association of Counsellors</li> </ul>
25 October 2019	<ul style="list-style-type: none"> <li>Speaker at the Institute of Directors breakfast event</li> </ul>
	<b>Future Events</b>
29 October 2019	<ul style="list-style-type: none"> <li>Opening GradFest 2019</li> <li>Attending UC Connect lecture</li> </ul>



Report to the Council from a meeting of the  
Audit and Risk Committee  
held on Monday 21 October 2019

The Committee recommends:

1. Health, Safety and Wellbeing Report

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

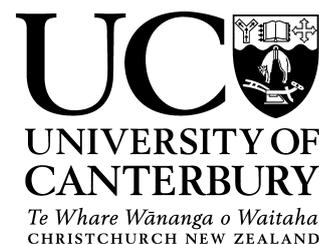
2. Audit NZ Letter of Engagement

***That: Council delegate the signing of the external Audit Engagement Letter for the three years ending 31 December 2021 to the Chancellor, subject to agreement on the fee.***

Peter Ballantyne  
**Chair**  
**Audit and Risk Committee**  
20 August 2019



# Audit and Risk Report



<b>To:</b>	<b>Audit and Risk Committee of UC Council</b>
<b>From:</b>	<b>Steve Hunter – Health and Safety Manager</b>
<b>Date:</b>	<b>October 2019</b>
<b>Subject</b>	<b>Health, Safety and Wellbeing at the University of Canterbury</b>

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

## **Report**

### **Content:**

- 1. Summary**
- 2. Legislative/Worksafe Updates**
- 3. Assessments**
- 4. Health Monitoring**
- 5. Training**
- 6. Governance Tracking and Reporting**
- 7. UC Statistics**

### **1. Summary**

Since the August 2019 report UC has experienced no serious harm events, serious injuries or notifiable events to WorkSafe. Our main reported events remain slips, trips and falls. All reported events are reviewed by the HSW Team.

The UC 2019-2020 Health and Safety Implementation Plan is now available and attached to this report. To view, please refer to *Appendices 1* attached.

Preparation for the new UC Temporary Dangerous Goods Transit Depot are at an advanced stage. UC has engaged the services of a Hazardous Substances person to operate the facility, a campus delivery vehicle is undergoing final preparations and Facilities Services are addressing other requirements such as zoning and signage etc. This is a very positive outcome for UC both for the wellbeing of our people and legislative compliance. The facility is due to be operative mid to late October pending any unforeseen circumstances

A business case for an electronic management system on how we manage and track hazardous substances on campus is also at an advanced stage with three potential providers under consideration. This is a positive outcome regarding compliance and risk to UC.

In order to pre-empt a potential compliance gap, UC now has a certified General Radiation Safety Officer.

UC has adopted the State Services Commission “Positive and Safe Workplaces” document which aims to promote appropriate workplace harassment and behaviour. The document provides the initiative to build positive behaviours across the workplace and to empower anyone to raise a concern about behaviour at work. To view, please refer to *Appendices 2* attached.

In response to a request from Council to include a report pertaining to a West Building lift incident which occurred on 5<sup>th</sup> April 2019, please refer to *Appendices 3* attached.

The campus construction update is as per our August report, with good progress, and no issues.

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

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

## **2. Legislative/Worksafe Updates**

Legislative incidents (For information only)

- *20 September 2019*

*Ritchies Transport Holdings was convicted and sentenced today in the Waitakere District Court following a Christmas Eve bus crash that left three people dead and many more injured. The company was ordered to pay a fine of \$210,000, and reparation to the families of the deceased and the passengers totalling \$750,000, after one of its buses went through a barrier and fell 30 metres down a bank just south of Gisborne in 2016. The bus had been hired from Ritchies to transport a Tongan brass band who were travelling from Hamilton to Gisborne.*

*WorkSafe’s Chief Inspector Investigations Hayden Mander said WorkSafe opened a health and safety investigation after Police investigated the crash and found that Ritchies had not serviced the bus (which was overdue for a 5,000 km service) or done any other back up mechanical inspection on it before it departed from the depot.*

*Ritchies had also failed to provide the driver with any guidance on what to do in the case of a fault developing – which was itself a breach of a Land Transport Rule.*

*A fine of \$210,000 was imposed.*

*Reparation of \$750,000 was ordered.*

*Ritchies Transport Holdings Limited was sentenced under s 36(2), 48(1) and (2)(c) of the Health and Safety at Work Act 2015.*

*Being a PCBU, failed to ensure, so far as was reasonably practicable, the health and safety of other persons was not put at risk from work carried out as part of the conduct of the business or undertaking, namely bus transport services, and that failure exposed those persons to a risk of serious injuries arising from the dry hireage of a Nissan Service Coach.*

S 48(2)(c) carries a maximum penalty of \$1,500,000.

- 11 September 2019

*A company was fined \$150,000 at the Auckland District Court yesterday after a home demolition job left a neighbour trapped in her property and workers at risk of exposure to asbestos.*

*“The company should have hired someone with experience to identify whether asbestos was present and remove the asbestos before demolition commenced.”*

*A fine of \$150,000 was imposed.*

*Reparation of \$30,000 was ordered to the occupants of the neighbouring property.*

*Quick Earth Moving Limited faced two charges under sections 36(1)(a), 36(2) and 48(1) and 48(2) of the Health and Safety at Work Act 2015.*

*Being a PCBU having a duty to ensure, so far as reasonably practicable, the health and safety of workers who work for the PCBU, while the workers were at work in the business or undertaking, namely undertaking demolition work, did fail to comply with that duty, and that failure exposed the workers to a risk of serious illness, injury or death arising from the collapse of a wall.*

*The maximum penalty for each charge is a fine not exceeding \$1,500,000.*

### 3. Assessments/Audits

Student halls of residence are undergoing their first audits since the new HSWA came into force. These assessments/audits are scheduled to be completed by September 2019. Findings will be available for the March 2020 A&R Report.

WorkSafe approved SafePlus Assessments continue through 2019 in the following areas:

- Fine Arts
- Physics
- Chemistry
- Forestry

Machinery Audits 2019 are:

- CNRE Workshops
- Mechanical Engineering
- Chemistry, Physics and Astronomy

External audits of current construction/refurbishment projects are ongoing.

### 4. Health Monitoring remains the same as the August Report

Type of Test	Reason	#Staff Y17	# Staff Y18	# Staff Y19
Spirometry Testing/Audiometry	Staff exposed to hazardous dusts/fumes and/or Staff exposed to excess noise	140	174	201
Skin Checks	Staff exposed to UV	52	81	64

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

## **5. Training**

The following training has taken place to date during 2019:

- Radiation Safety Officer (ANSTO)
- Health and Safety Representative Training (HSR)
- Fire Extinguisher and Evacuation
- First Aid
- Risk management
- Field Activities
- Workplace Risk Assessment (HSR Stage 2)

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

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

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

- Success is celebrated with posts in community newsletters, annual Health, Safety and Wellbeing Awards and a personal email from the Health and Safety Manager.
- UC-wide monthly relevant statistics from RMSS, are shared throughout all Health and Safety Committee meetings. This will assist with identifying trends and keep the community informed of reported events.

## 7. UC Statistics

### Lagging Performance Indicator Statistics 1 August – 30 September 2019

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

<b>Lagging Performance Statistics</b>	<b>Y17</b>	<b>Y18</b>	<b>Y19</b>
Total Occurrences - employees	79	89	96
Total Occurrences - non-employees	149	157	212
<b>Total Occurrences</b>	<b>228</b>	<b>246</b>	<b>308</b>
<b>Total Occurrences Rec Centre</b>	<b>13</b>	<b>22</b>	<b>41</b>
- <i>Low Risk</i>	9	18	40
- <i>Medium Risk</i>	4	4	1
- <i>High Risk</i>	0	0	0
<b>Total Illness Occurrences</b>	<b>10</b>	<b>4</b>	<b>2</b>
- <i>Low Risk</i>	8	2	2
- <i>Medium Risk</i>	1	1	0
- <i>High Risk</i>	1	1	0
<b>Total Injury Occurrences</b>	<b>94</b>	<b>108</b>	<b>119</b>
- <i>Low Risk</i>	75	87	107
- <i>Medium Risk</i>	17	20	8
- <i>High Risk</i>	2	1	4
<b>Total Near Miss Occurrences</b>	<b>33</b>	<b>39</b>	<b>32</b>
- <i>Low Risk</i>	10	22	18
- <i>Medium Risk</i>	14	14	8
- <i>High Risk</i>	9	3	6
<b>Total Discomfort &amp; Pain Reported</b>	<b>34</b>	<b>29</b>	<b>36</b>
- <i>Low Risk</i>	25	25	24
- <i>Medium Risk</i>	8	4	8
- <i>High Risk</i>	1	0	6

<b>Total Incident (No Injury) Occurrences</b>	<b>43</b>	<b>27</b>	<b>55</b>
- Low Risk	30	23	44
- Medium Risk	10	4	9
- High Risk	3	0	1
<b>Notifiable to WorkSafe Incident</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Occurrences *</b>	<b>227</b>	<b>229</b>	<b>285</b>
WorkSafe Investigations	0	0	0

Note:

\* Increase in Total Occurrences related to extra RMSS training carried out by the HSW team

### Leading Performance Indicator Statistics 1 August – 30 September 2019

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

<b>Leading Performance Statistics</b>	<b>Y17</b>	<b>Y18</b>	<b>Y19</b>
<b>Council Safety Tours</b>	4	3	4
<b>External Audits</b>	7	7	4
<b>SMT Safety Tours</b>	0	4	2
<b>Staff Training Sessions</b>	23	26	20
<b>HSW Committee Meetings</b>	30	30	30
<b>H&amp;S Representatives</b>	81	85	85
<b>Safety Observations</b>	1	17	23
<b>Ergonomic Assessments</b>	108	129	133
<b>Staff Receiving Health Monitoring</b>	228	174	265
<b>Flu Vaccinations (Staff and Students)</b>	1417	1288	864

*Note:*

- *2019 period flu statistics are lower due to a national shortage of vaccinations causing some staff to seek arrangements outside of the organisation.*
- *Reduction in external audits due to construction project completions*



SEPTEMBER 2019

# University of Canterbury Health, Safety and Wellbeing

## IMPLEMENTATION PLAN 2019-2020

"LET'S DO SAFETY WELL"

## IMPLEMENTATION PLAN 2019-2020

The Health and Safety (HS) Team are committed to lead by example, act with integrity, demonstrate bi-cultural respect and deliver compliant advice leading to workable solutions. We believe that success is achieved by ongoing engagement and collaboration with our people regarding health, safety and wellbeing.

The overall health, safety and wellbeing system at UC is predicated on a model of shared responsibility, led by SMT. The central health and safety team act as trusted advisors to the organisation. The team also provides a leading role in coordinating UC wide health, safety and wellbeing activities. This dispersed responsibility for health, safety and wellbeing management is both necessary and appropriate, given the sheer size of the University and the diverse array of environments in which health, safety and wellbeing must be managed.

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### OBJECTIVE

The Health and Safety Team 2019/2020 focus is “Let’s do safety well”, simply and collaboratively

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### PURPOSE

The role of the health and safety team is to contribute to the University vision of being ‘Engaged, Empowered and Making a Difference’, by providing exceptional professional guidance and support.

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### COMMITMENT

We are committed to working with our leaders and wider UC community, in developing a constructive health, safety and wellbeing culture that is agile and supports continuous improvement.

We will achieve this by:

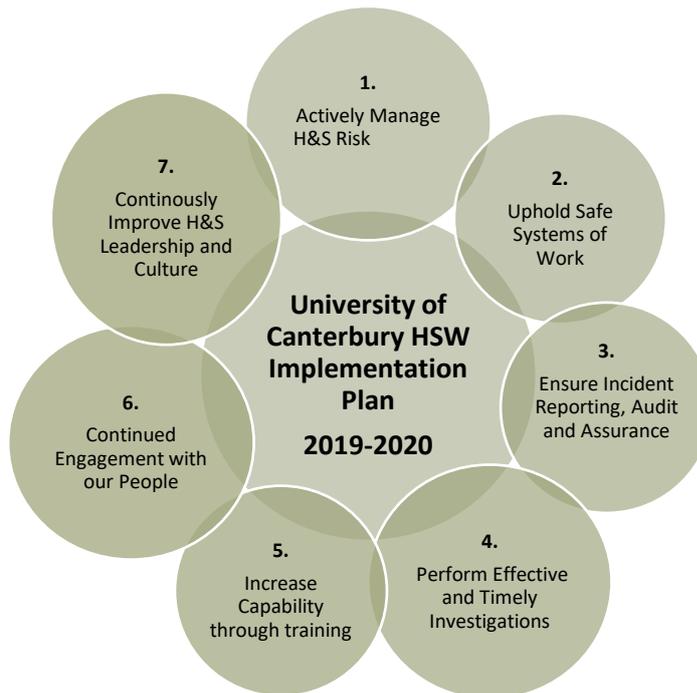
- Enhancing the current Safe Working Environments
- Developing health, safety and wellbeing knowledge and capabilities for now and for the future
- Helping our leaders build a collaborative and engaged workforce
- Challenging ourselves by seeking opportunities to enhance our health, safety and wellbeing performance through a set of goals and focused priorities
- Enabling and supporting continuous improvement toward a constructive health, safety and wellbeing culture
- Contributing toward a positive experience for our students

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## OUR HEALTH, SAFETY AND WELLBEING STRATEGIC FOUNDATIONS

### 'Let's do Safety Well'

Our Health, Safety and Wellbeing Implementation Plan will be achieved through a focus on the following goals:



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#### 1. ACTIVELY MANAGE HSW RISKS:

Ensure that Risk Assessments are in place for work activities with significant risk and that these Risk Assessments are reviewed at least annually, following any related incidents/events/near misses, or when any significant changes to processes or activities are made. Recognising the expertise among academic and professional support staff is fundamental to identifying and managing risk. The health and safety team will provide supportive administrative systems that enable hazards associated with research teaching and support activity, to be managed in a way that is proportional to the risk presented. The focus for this period will be the revision of the tools and administrative systems, to ensure that these are fit for purpose and adequately meet user requirements. The health and safety team will contribute to a UC Wellbeing strategy that recognises that the physical and cultural environment that we are empowered to manage, forms an essential part of ensuring individual and collective wellbeing.

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## **2. UPHOLD SAFE SYSTEMS OF WORK:**

Where risk cannot be completely managed through the use of engineering controls alone, ensure that safe systems of work are documented, communicated, implemented and complied with across the University of Canterbury.

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## **3. ENSURE INCIDENT REPORTING, AUDIT AND ASSURANCE:**

Ensure that corrective actions identified through proactive monitoring (inspections, tours, audits/assessments) are closed out within agreed timeframes.

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## **4. PERFORM EFFECTIVE AND TIMELY INVESTIGATION:**

Ensure that corrective and all other actions identified through the investigation of accidents, incidents, near misses and ill-health are closed out within agreed timeframes.

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## **5. INCREASE CAPABILITY THROUGH TRAINING:**

Monitor the attendance and delivery of health, safety and wellbeing training.

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## **6. CONTINUED ENGAGEMENT WITH OUR PEOPLE:**

Continue to enable and encourage participation and collaboration among staff and the wider UC community to achieve our health safety and wellbeing goals, recognising the critical contribution made by staff and student representative bodies.

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## **7. IMPROVE HSW LEADERSHIP AND CULTURE:**

To encourage and support UC leadership to collectively and individually lead health, safety and wellbeing, recognising responsibilities in exercising primary duty of care for the wider UC community. The focus in this period will be to raise the visibility of leadership by facilitating participation in front-line engagement activity including participation in HSW meetings, undertaking health, safety and wellbeing walkabouts, participation in assessments, identifying and inducting (training) new leaders.

These seven key foundation stones underpin all of the programs of work identified in the Health, Safety and Wellbeing Implementation Plan 2019/2020. This is a live plan to be reviewed on an annual basis commencing December 2020, or when any landscape/legislative changes dictates otherwise, to ensure objectives and programs of work still align with the overall University of Canterbury vision and strategic objectives.

## HEALTH AND SAFETY IMPLEMENTATION PLAN

ENABLING EVERYONE TO MAKE A DIFFERENCE - SAFELY

University Objectives 2019-2020	Key Accountability	Implementation Responsibility	HS Team Objectives	HS Team Responsible	Completion Date
<b>Key Element – Lead Health, Safety &amp; Wellbeing</b> 					
1. Scope Potential replacement for the Health, Safety and Wellbeing Management system with mobile app function	SMT Member	HS Manager	To replace current system with a responsive, user friendly system. One that is able to improve measurement, to enable the team to develop and share better data to improve decision making	HS Manager	December 2019
<b>Key Element – Manage Hazards and Risks</b> 					
2. Identify, audit, assess and map hazardous substance store locations	HS Manager	HS Manager	To ensure the team can manage risks effectively and proportionately	HS Advisor/Consultant	June 2020
3. High risk campus workplace identification (people and functions)	HS Manager	HS Manager	To enable the team to identify capability gaps and provide visibility of the different roles people are required to have to manage high risk areas.	HS Advisor/Consultant	December 2020
4. Continue to plan for implementation of a hazardous substance management system	SMT Member	HS Manager	Work collaboratively with IT project teams to bring the new system forward as soon as practicable and to introduce UC wide use to ensure compliance under legislative requirements	HS Manager	June 2020

September 2019

Implementation Plan 2019-2020

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<b>University Objectives 2019-2020</b>						
Key Accountability	Implementation Responsibility	HS Team Objectives	HS Team Responsible	Completion Date		
5. Continue to support risk management proportionate to the risk presented	HS Manager	Provide professional advice and support as resource allows	HS Manager	Ongoing		
<b>Key Element – Engage in Health &amp; Safety</b>						
						
6. Health and Safety toolkit transition to Website	HS Manager	To ensure clear and effective processes are represented on the new Web based platform. Help staff enable clear pathways can be followed for ease of use	HS Advisor/Consultant	December 2019		
<b>Key Element – Wellbeing at Work</b>						
						
7. Integrate staff wellbeing (risk factor) into the overall wellbeing plan	H&S Manager Director, Wellness Services	Work collaboratively with Wellness Services to assist the team to better manage work related mental health risks	H&S Manager	December 2019		

Print First and Last Name \_\_\_\_\_ Title \_\_\_\_\_ Signature \_\_\_\_\_

Print First and Last Name \_\_\_\_\_ Title \_\_\_\_\_ Signature \_\_\_\_\_



# Memorandum/Pukapuka



<b>To:</b>	Ki:	Council
<b>From:</b>	Nā:	Keith Longden
<b>Date:</b>	Rā:	23 October 2019
<b>Subject:</b>	Kaupapa:	<b>External Audit Engagement Letter</b>

## **Recommendations:**

*That Council note the external Audit Engagement Letter (AEL) for the three years ending 31 December 2019 to 31 December 2021.*

*That Council recommend the AEL for signing by the Chancellor on behalf of the University.*

## **Purpose:**

For noting and recommendation to Council.

## **Executive Summary:**

The Auditor-General is the auditor of the University under the Public Audit Act 2001.

The external auditor, Audit New Zealand appointed by and acting on behalf of the Auditor-General, is required by auditing standards to maintain up to date audit engagement terms with the University. The attached letter sets out those terms.

The letter outlines:

- the terms of the audit engagement and the nature, and limitations, of the annual audit; and
- the respective responsibilities of the Council and the Appointed Auditor, for the financial statements and non-financial performance information.

The letter is required to be signed by the Chancellor on behalf of the University (see page 6 of the letter).

## **Key Points/Strategic fit:**

We cannot change the letter or amend any of its terms, nor do we recommend any changes.

The letter is consistent with the AEL for the three-year period to 31 December 2018.

## **Financial implications:**

The AEL is normally accompanied by a fee proposal for the period of the letter, but this is yet to be agreed.

**Attachments:**

Audit Engagement Letter 2019 -2021.

**Paper Progress:**

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
RAC		Not delivered in time
SMT		Not delivered in time
ARC	15 October 2019	
COUNCIL	30 October 2019	

3 October 2019

Level 3, 335 Lincoln Road  
Addington  
PO Box 2, Christchurch 8140

Ms Sue McCormack  
Chancellor  
University of Canterbury  
Private Bag 4800  
Christchurch 8140

Dear Sue

## **Audit Engagement Letter**

This audit engagement letter is sent to you on behalf of the Auditor-General who is the auditor of all “public entities”, including University of Canterbury, under section 14 of the Public Audit Act 2001 (the Act). The Auditor-General has appointed me, Andy Burns, using the staff and resources of Audit New Zealand, under sections 32 and 33 of the Act, to carry out the annual audits of the University of Canterbury’s financial statements and non-financial performance information. We will be carrying out these annual audits on the Auditor-General’s behalf, for the years ending 31 December 2019 to 31 December 2021.

This letter outlines:

- the terms of the audit engagement and the nature, and limitations, of the annual audit; and
- the respective responsibilities of the Council and me, as the Appointed Auditor, for the financial statements and non-financial performance information.

The objectives of the annual audit are:

- to provide an independent opinion on the University of Canterbury’s financial statements and non-financial performance information; and
- to report on other matters that come to our attention as part of the annual audit (typically those matters will relate to issues of financial management and accountability).

We will carry out the audit in accordance with the Auditor-General’s Auditing Standards, which incorporate the Professional and Ethical Standards and the International Standards on Auditing (New Zealand) issued by the New Zealand Auditing and Assurance Standards Board (collectively the Auditing Standards). The Auditing Standards require that we comply with ethical requirements, and

plan and perform the annual audit to obtain reasonable assurance about whether the University of Canterbury's financial statements and non-financial performance information are free from material misstatement. The Auditing Standards also require that we remain alert to issues of concern to the Auditor-General. Such issues tend to relate to matters of financial management and accountability.

### **Your responsibilities**

Our audit will be carried out on the basis that the Council acknowledges that it has responsibility for:

- preparing the financial statements and non-financial performance information in accordance with any applicable legal requirements and financial reporting standards;
- having such internal control as determined necessary to enable the preparation of financial statements and non-financial performance information that are free from material misstatement, whether due to fraud or error; and
- providing us with:
  - access to all information relevant to preparing the financial statements and non-financial performance information such as records, documentation, and other information;
  - all other information, in addition to the financial statements and non-financial performance information, to be included in the annual report;
  - additional information that we may request from the University of Canterbury for the purpose of the audit;
  - unrestricted access to Council members and employees that we consider necessary; and
  - written confirmation concerning representations made to us in connection with the audit.

The Council's responsibilities extend to all resources, activities, and entities under its control. We expect that the Council will ensure:

- the resources, activities, and entities under its control have been operating effectively and efficiently;
- it has complied with its statutory obligations including laws, regulations, and contractual requirements;
- it has carried out its decisions and actions with due regard to minimising waste;
- it has met Parliament's and the public's expectations of appropriate standards of behaviour in the public sector in that it has carried out its decisions and actions with due regard to probity; and

- its decisions and actions have been taken with due regard to financial prudence.

We expect the Council and/or the individuals within the University of Canterbury with delegated authority, to immediately inform us of any suspected fraud, where there is a reasonable basis that suspected fraud has occurred – regardless of the amount involved. Suspected fraud also includes instances of bribery and/or corruption.

The Council has certain responsibilities relating to the preparation of the financial statements and non-financial performance information and in respect of financial management and accountability matters. These specific responsibilities are set out in Appendix 1. Appendix 2 contains some additional responsibilities relating to the health and safety of audit staff. We expect members of the Council to be familiar with those responsibilities and, where necessary, have obtained advice about them.

The Council should have documented policies and procedures to support its responsibilities. It should also regularly monitor performance against its objectives.

## **Our responsibilities**

### ***Carrying out the audit***

We are responsible for forming an independent opinion on whether the financial statements of the University of Canterbury:

- present fairly, in all material respects:
  - its financial position; and
  - its financial performance and cash flows for the financial year; and
- comply with generally accepted accounting practice in New Zealand in accordance with Public Benefit Entity Standards.

We are also responsible for forming an independent opinion on whether the non-financial performance information of University of Canterbury:

- presents fairly, in all material respects, the performance for the financial year, including:
  - its performance achievements as compared with forecasts included in the investment plan for the financial year; and
  - its actual revenue and expenses as compared with the forecasts included in the investment plan for the financial year. and
- complies with generally accepted accounting practice in New Zealand.

An audit involves obtaining evidence about the amounts and disclosures in the financial statements and non-financial performance information. How we obtain this information depends on our judgement, including our assessment of the risks of material misstatement of the financial

statements and non-financial performance information, whether due to fraud or error. An audit also includes evaluating the appropriateness of accounting policies and the reasonableness of accounting estimates, as well as evaluating the overall presentation of the financial statements and non-financial performance information.

We do not examine every transaction, nor do we guarantee complete accuracy of the financial statements and non-financial performance information. Because of the inherent limitations of an audit, together with the inherent limitations of internal control, there is an unavoidable risk that some material misstatements may not be detected, even though the audit is properly planned and performed in accordance with the Auditing Standards.

During the audit, we obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University of Canterbury's internal controls. However, we will communicate to you in writing about any significant deficiencies in internal control relevant to the audit of the financial statements and non-financial performance information that we identify during the audit.

During the audit, the audit team will:

- be alert for issues of effectiveness and efficiency – in particular, how the Council and the University of Canterbury have carried out their activities;
- consider laws and regulations relevant to the audit;
- be alert for issues of waste – in particular, whether the Council obtained and applied the resources of the University of Canterbury in an economical manner, and whether any resources are being wasted;
- be alert for issues of a lack of probity – in particular, whether the Council and the University of Canterbury have met Parliament's and the public's expectations of appropriate standards of behaviour in the public sector; and
- be alert for issues of a lack of financial prudence.

### ***Our independence***

It is essential that the audit team and Audit New Zealand remain both economically and attitudinally independent of University of Canterbury; including being independent of management personnel and members of the Council). This involves being, and appearing to be, free of any interest that might be regarded, whatever its actual effect, as being incompatible with the objectivity of the audit team and the Audit New Zealand.

To protect our independence, specific limitations are placed on us in accepting engagements with the Council other than the annual audit. We may accept certain types of other engagements, subject to the requirements of the Auditing Standards. Any other engagements must be the subject of a separate written arrangement between the Council and me or Audit New Zealand.

## **Reporting**

We will issue an independent audit report that will be attached to the financial statements and non-financial performance information. This report contains our opinion on the fair presentation of the financial statements and non-financial performance information and whether they comply with the applicable reporting requirements. The audit report may also include comment on other financial management and accountability matters that we consider may be of interest to the addressee of the audit report.

Our audit report will communicate key audit matters in accordance with ISA (NZ) 701: Communicating Key Audit Matters in the Independent Auditor's Report. Key audit matters are those matters that, in our professional judgement, were of most significance in the audit of the financial statements and non-financial performance information for the current year.

We will also issue a report to the Council. This report communicates any matters that come to our attention during the audit that, in our opinion, are relevant to the Council. Typically those matters will relate to issues of financial management and accountability. We may also provide other reports to the University of Canterbury from time to time. We will inform the Council of any other reports we have issued.

The report to the Council is the basis of a letter sent to the Minister and a briefing report sent to the select committee about the results of our audit.

Please note that the Auditor-General may publicly report matters that are identified in the annual audit, in keeping with section 21 of the Public Audit Act 2001.

## **Next steps**

Please acknowledge receipt of this letter and the terms of the audit engagement by signing the letter in the space provided and returning a copy to me. The terms will remain effective until a new Audit Engagement Letter is issued.

If you have any questions about the audit generally, or have any concerns about the quality of the audit, you should contact me as soon as possible. If after contacting me you still have concerns, you should contact the Director of Auditor Appointments at the Office of the Auditor-General on (04) 917 1500.

If you require any further information, or wish to discuss the terms of the audit engagement further before replying, please do not hesitate to contact me.

Yours faithfully



Andy Burns  
Appointed Auditor  
On behalf of the Auditor-General

I acknowledge the terms of this engagement and that I have the required authority on behalf of the Council.

Signature:

Name: .....

Title: ..... Date: .....

# Appendix 1: Respective specific responsibilities of the Council and the Appointed Auditor

Responsibilities of the Council	Responsibility of the Appointed Auditor
<b>Responsibilities for the financial statements and non-financial performance information</b>	
<p>You are required by legislation to prepare financial statements and non-financial performance information in accordance with legal requirements and financial reporting standards.</p> <p>You must also ensure that any accompanying information in the annual report is consistent with that reported in the audited financial statements and non-financial performance information.</p> <p>You are required by legislation to prepare the financial statements and non-financial performance information and provide that information to us before the statutory reporting deadline. It is normal practice for you to set your own timetable to comply with statutory reporting deadlines. To meet the reporting deadlines, we are dependent on receiving the financial statements and non-financial performance information ready for audit and in enough time to enable the audit to be completed. "Ready for audit" means that the financial statements and non-financial performance information have been prepared in accordance with legal requirements and financial reporting standards, and are supported by proper accounting records and complete evidential documentation.</p>	<p>We are responsible for carrying out an annual audit, on behalf of the Auditor-General. We are responsible for forming an independent opinion on whether the financial statements:</p> <ul style="list-style-type: none"> <li>• present fairly, in all material respects:               <ul style="list-style-type: none"> <li>○ the financial position; and</li> <li>○ the financial performance and cash flows for the financial year; and</li> </ul> </li> <li>• comply with generally accepted accounting practice in New Zealand in accordance with Public Benefit Entity Standards.</li> </ul> <p>We are also responsible for forming an independent opinion on whether the non-financial performance information:</p> <ul style="list-style-type: none"> <li>• presents fairly, in all material respects, the performance for the financial year, including:               <ul style="list-style-type: none"> <li>○ the performance achievements as compared with forecasts included in the Investment Plan for the financial year; and</li> <li>○ the actual revenue and expenses as compared with the forecasts included in the Investment Plan for the financial year; and</li> </ul> </li> <li>• complies with generally accepted accounting practice in New Zealand.</li> </ul> <p>We will also read the other information accompanying the financial statements and non-financial performance information and consider whether there are material inconsistencies with the audited financial statements and non-financial performance information.</p>

Responsibilities of the Council	Responsibility of the Appointed Auditor
	<p>Materiality is one of the main factors affecting our judgement on the areas to be tested and on the timing, nature, and extent of the tests and procedures performed during the audit. In planning and performing the annual audit, we aim to obtain reasonable assurance that the financial statements and non-financial performance information do not have material misstatements caused by either fraud or error. Material misstatements are differences or omissions of amounts and disclosures that, in our judgement, are likely to influence the audit report addressee’s overall understanding of the financial statements and non-financial performance information.</p> <p>If we find material misstatements that are not corrected, they will be referred to in the audit opinion. The Auditor-General’s preference is for you to correct any material misstatements and avoid the need for them to be referred to in the audit opinion.</p> <p>An audit also involves evaluating:</p> <ul style="list-style-type: none"> <li>• the appropriateness of accounting policies used and whether they have been consistently applied;</li> <li>• the reasonableness of the significant accounting estimates and judgements made by those charged with governance;</li> <li>• the appropriateness of the content and measures in any performance information;</li> <li>• the adequacy of the disclosures in the financial statements and non-financial performance information; and</li> <li>• the overall presentation of the financial statements and non-financial performance information.</li> </ul> <p>We will ask you for written confirmation of representations made about the financial statements and non-financial performance information. In particular, we will seek confirmation that:</p> <ul style="list-style-type: none"> <li>• the adoption of the going concern basis of accounting is appropriate;</li> <li>• all material transactions have been recorded and are reflected in the financial statements and non-financial performance information;</li> </ul>

Responsibilities of the Council	Responsibility of the Appointed Auditor
	<ul style="list-style-type: none"> <li>• all instances of non-compliance or suspected non-compliance with laws and regulations have been disclosed to us; and</li> <li>• uncorrected misstatements noted during the audit are immaterial to the financial statements and non-financial performance information.</li> </ul> <p>Any representation made does not in any way reduce our responsibility to perform appropriate audit procedures and enquiries.</p> <p>We will ensure that the annual audit is completed by the reporting deadline or, if that is not practicable because of the non-receipt or condition of the financial statements and non-financial performance information, or for some other reason beyond our control, as soon as possible after that.</p> <p>The work papers that we produce in carrying out the audit are the property of the Auditor-General. Work papers are confidential to the Auditor-General and subject to the disclosure provisions in section 30 of the Public Audit Act 2001.</p>
<b>Responsibilities for the accounting records</b>	
<p>You are responsible for maintaining accounting and other records that:</p> <ul style="list-style-type: none"> <li>• correctly record and explain the transactions of University of Canterbury;</li> <li>• enable you to monitor the resources, activities, and entities under your control;</li> <li>• enable the University of Canterbury's financial position to be determined with reasonable accuracy at any time;</li> <li>• enable you to prepare financial statements and non-financial performance information that comply with legislation (and that allow the financial statements and non-financial performance information to be readily and properly audited); and</li> <li>• are in keeping with the requirements of the Commissioner of Inland Revenue.</li> </ul>	<p>We will perform sufficient tests to obtain reasonable assurance as to whether the underlying records are reliable and adequate as a basis for preparing the financial statements and non-financial performance information.</p> <p>If, in our opinion, the records are not reliable or accurate enough to enable the preparation of the financial statements and non-financial performance information and the necessary evidence cannot be obtained by other means, we will need to consider the effect on the audit opinion.</p>

Responsibilities of the Council	Responsibility of the Appointed Auditor
<b>Responsibilities for accounting and internal control systems</b>	
<p>You are responsible for establishing and maintaining accounting and internal control systems (appropriate to the size of University of Canterbury), supported by written policies and procedures, designed to provide reasonable assurance as to the integrity and reliability of financial and non-financial performance information reporting.</p>	<p>The annual audit is not designed to identify all significant weaknesses in your accounting and internal control systems. We will review the accounting and internal control systems only to the extent required to express an opinion on the financial statements and non-financial performance information.</p> <p>We will report to you separately, on any significant weaknesses in the accounting and internal control systems that come to our notice and that we consider may be relevant to you. Any such report will provide constructive recommendations to assist you to address those weaknesses.</p>
<b>Responsibilities for preventing and detecting fraud and error</b>	
<p>The responsibility for the prevention and detection of fraud and error rests with you, through the implementation and continued operation of adequate internal control systems (appropriate to the size of University of Canterbury) supported by written policies and procedures.</p> <p>We expect you to formally address the matter of fraud, and formulate an appropriate policy on how to minimise it and (if it occurs) how it will be dealt with. Fraud also includes bribery and corruption.</p> <p>We expect you to consider reporting all instances of actual, suspected, or alleged fraud to the appropriate law enforcement agency, which will decide whether proceedings for a criminal offence should be instituted. We expect you to immediately inform us of any suspected fraud where you, and/or any individuals within the University of Canterbury with delegated authority have a reasonable basis that suspected fraud has occurred - regardless of the amount involved.</p>	<p>We design our audit to obtain reasonable, but not absolute, assurance of detecting fraud or error that would have a material effect on the financial statements and non-financial performance information. We will review the accounting and internal control systems only to the extent required for them to express an opinion on the financial statements and non-financial performance information, but we will:</p> <ul style="list-style-type: none"> <li>• obtain an understanding of internal control and assess its ability for preventing and detecting material fraud and error; and</li> <li>• report to you any significant weaknesses in internal control that come to our notice.</li> </ul> <p>We are required to immediately advise the Office of the Auditor-General of all instances of actual, suspected, or alleged fraud.</p> <p>As part of the audit, you will be asked for written confirmation that you have disclosed all known instances of actual, suspected, or alleged fraud to us.</p>

Responsibilities of the Council	Responsibility of the Appointed Auditor
	<p>If we become aware of the possible existence of fraud, whether through applying audit procedures, advice from you, or management, or by any other means, we will communicate this to you with the expectation that you will consider whether it is appropriate to report the fraud to the appropriate law enforcement agency. In the event that you do not report the fraud to the appropriate law enforcement agency, the Auditor-General will consider doing so, if it is appropriate for the purposes of protecting the interests of the public.</p>
<p><b>Responsibilities for compliance with laws and regulations</b></p>	
<p>You are responsible for ensuring that University of Canterbury has systems, policies, and procedures (appropriate to the size of University of Canterbury) to ensure that all applicable legislative, regulatory, and contractual requirements that apply to the activities and functions of University of Canterbury are complied with. Such systems, policies, and procedures should be documented.</p>	<p>We will obtain an understanding of the systems, policies, and procedures put in place for the purpose of ensuring compliance with those legislative and regulatory requirements that are relevant to the audit. Our consideration of specific laws and regulations will depend on a number of factors, including:</p> <ul style="list-style-type: none"> <li>• the relevance of the law or regulation to the audit;</li> <li>• our assessment of the risk of non-compliance; and</li> <li>• the impact of non-compliance for the addressee of the audit report.</li> </ul> <p>The way in which we will report instances of non-compliance that come to our attention will depend on considerations of materiality or significance. We will report to you and to the Auditor-General all material and significant instances of non-compliance.</p> <p>We will also report to you any significant weaknesses that we observe in internal control systems, policies, and procedures for monitoring compliance with laws and regulations.</p>

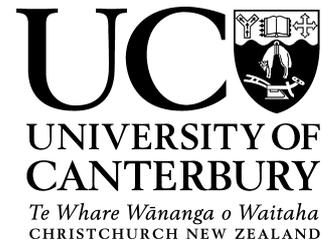
Responsibilities of the Council	Responsibility of the Appointed Auditor
<b>Responsibilities to establish and maintain appropriate standards of conduct and personal integrity</b>	
<p>You should at all times take all practicable steps to ensure that your members and employees maintain high standards of conduct and personal integrity. You should document your expected standards of conduct and personal integrity in a “Code of Conduct” and, where applicable, support the “Code of Conduct” with policies and procedures.</p> <p>The expected standards of conduct and personal integrity should be determined by reference to accepted “Codes of Conduct” that apply to the public sector.</p>	<p>We will have regard to whether you maintain high standards of conduct and personal integrity – particularly in matters relating to financial management and accountability. Specifically, we will be alert for significant instances where members and employees of University of Canterbury may not have acted in accordance with the standards of conduct and personal integrity expected of them.</p> <p>The way in which we will report instances that come to our attention will depend on significance. We will report to you and to the Auditor-General all significant departures from expected standards of conduct and personal integrity that come to our attention during the audit.</p> <p>The Auditor-General, on receiving a report from us, may, at his discretion and with consideration of its significance, decide to conduct a performance audit of, or an inquiry into, the matters raised. The performance audit or inquiry will be subject to specific terms of reference, in consultation with you. Alternatively, the Auditor-General may decide to publicly report the matter without carrying out a performance audit or inquiry.</p>
<b>Responsibilities for conflicts of interest and related parties</b>	
<p>You should have policies and procedures to ensure that your members and employees carry out their duties free from bias.</p> <p>You should maintain a full and complete record of related parties and their interests. It is your responsibility to record and disclose related-party transactions in the financial statements and non-financial performance information in accordance with generally accepted accounting practice.</p>	<p>To help determine whether your members and employees have carried out their duties free from bias, we will review information provided by you that identifies related parties, and will be alert for other material related-party transactions. Depending on the circumstances, we may enquire whether you have complied with any statutory requirements for conflicts of interest and whether these transactions have been properly recorded and disclosed in the financial statements and non-financial performance information.</p>

Responsibilities of the Council	Responsibility of the Appointed Auditor
<b>Responsibilities for publishing the audited financial statements on a website</b>	
<p>You are responsible for the electronic presentation of the financial statements and non-financial performance information on the public entity’s website. This includes ensuring that there are enough security and controls over information on the website to maintain the integrity of the data presented.</p> <p>If the audit report is reproduced in any medium, you should present the complete financial statements, including notes, accounting policies, and any other accountability statements.</p>	<p>Examining the controls over the electronic presentation of audited financial statements and non-financial performance information, and the associated audit report, on your website is beyond the scope of the annual audit.</p>

## **Appendix 2: Health and safety of audit staff**

The Auditor-General and Audit New Zealand take seriously their responsibility to provide a safe working environment for audit staff. Under the Health and Safety at Work Act 2015 we need to make arrangements with you to keep our audit staff safe while they are working at your premises. We expect you to provide a safe work environment for our audit staff. This includes providing adequate lighting and ventilation, suitable desks and chairs, and safety equipment, where required. We also expect you to provide them 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.

# Memorandum/Pukapuka



<b>To:</b>	Ki:	University Council
<b>From:</b>	Nā:	Professor Ian Wright, Deputy Vice-Chancellor
<b>Date:</b>	Rā:	17 October 2019
<b>Subject:</b>	Kaupapa:	<b>Academic Board report</b>

## **Recommendation:**

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

## **Purpose:**

To advise Council on the Academic Board proceedings at its October meeting.

## **Executive Summary:**

The Board considered various items including the Vice-Chancellor's Strategy implementation plans.

## **Key Points/Strategic fit:**

The Board endorsed the direction of travel of the priority actions listed in the seven key themes of the Strategy implementation plans.

## **Financial implications:**

None

## **Attachments:**

**Academic Board report**

Full paper commences overleaf.

## **Paper Progress:**

<b>To:</b>	<b>Date:</b>	<b>Decision:</b>
PFRC/RAC	N/A	
SMT	N/A	
FPRC/ARC	N/A	
COUNCIL	October 2019	

## RECOMMENDATIONS TO THE COUNCIL FROM A MEETING OF THE ACADEMIC BOARD HELD ON FRIDAY 9 OCTOBER 2019

### BUSINESS FROM THE CHAIR

The Chair:

- reminded Heads of Department/School that the deadline for examination papers had passed and that not all had been received by the Exams Office;
- reported that Learning Resources were looking for two academic staff to help them with a workshop on Office 365 – volunteers were asked to contact the Secretary for further details.

### REPORT FROM THE VICE-CHANCELLOR

The Chair took the report as read, in the Vice-Chancellor's absence.

He acknowledged the tragic circumstances surrounding the death of student Mason Pendrous. The Vice-Chancellor and Chancellor had both extended their condolences to the family and been in regular contact with them. Former High Court Judge Hon Kit Toogood QC has been appointed on behalf of the University Council to lead the independent investigation which was expected to take four or five weeks. UC was not engaging with the media until the report was completed.

Questions and comments from the floor included:

- Does UC require Campus Living Villages to provide a specific ratio of Residential Assistants to students? Ms McClelland answered that the ratio is only one element of staffing and that ratios varied across halls.
- Mason's family has raised public concerns about the terms of reference for the investigation, will these be revisited? As the investigation is independent, the terms of reference - which are available on the intranet - were set by Mr Toogood, who had received the family's concerns and some changes had subsequently been adopted.
- Will there be an all-staff message to inform staff on how to make submissions to Mr Toogood? The Chair will take this back for clarification. [*Note: the UC announcement about the investigation is explicit about how to make submissions to the enquiry, see: <https://www.canterbury.ac.nz/news/2019/hon-kit-toogood-qc-to-lead-university-investigation.html>*].
- Is this the right time to discuss expectations of attendance at university from the perspective of parents, students and staff? This would be a worthwhile discussion, however some members felt that adult students needed to be treated as independent learners, who are responsible for their own choices and that a student perspective on the discussion was also essential.
- Should the university as a public institution be supplying accommodation direct to students and not employing a third party? Should student accommodation be part of the academic strategy?

The Chair:

- congratulated Heather Purdie from the School of Earth and Environment and Masa Ogino from the School of Language, Social and Political Science on their national awards for sustained excellence in tertiary teaching which had recently been announced by Ako Aotearoa;

- also offered congratulations to Dr Volker Nock, Director of the Biomolecular Interaction Centre who has been awarded a 2019 Rutherford Discovery Fellowship to accelerate research into saving native trees from fungal pathogens, by the Royal Society Te Apārangi;

- reported that although it was very early in the cycle, the applications to enrol at UC in 2020 were up 38% compared to the same time last year with an increase of 16% in full fee paying students.

A member asked about the reference to a financial report in the Vice-Chancellor's report which is received by Council but not by the Board. The Chair agreed that this could be received by the Board following Council meetings.

## **REPORT FROM THE UCSA**

Mr Brosnahan reported:

- on the recent UCSA Staff of the Year awards. He thanked staff for all their contributions.

- that following a push amongst the student body for editorial independence for Canta, new structures and policies were being put in place for 2020 to enable this to happen;

- that the UCSA Exec had submitted a response to the Ministry of Education consultation on the Tertiary Student Voice. The response had reflected that the UCSA Exec is generally happy with their relationship and interaction with the University its committees, the Colleges and generally in the academic space. They appreciated having access to the all-student email account and regular meetings with the Vice-Chancellor. They felt that further work could be done with regard to closing the feedback loop and their representation on ad hoc working groups.

## **ACADEMIC STRATEGIC FRAMEWORK IMPLEMENTATION PLANS**

The Chair noted that the plans had evolved with the help of working groups which included Academic Board members and others from across UC. There are seven key themes with actions identified for 2020 and with further actions for the next five to ten years. During that time there will also be a regular process of checking and refocussing where necessary. The next steps will be feasibility testing and costing. Money has been set aside in the proposed 2020 budget which is due to be discussed and approved by Council in November for the Vice-Chancellor's strategic investment fund, which will be the key resource for funding high priority actions.

The Chair invited a representative from each of the key themes to speak to their priority actions. Associate Professor Ekant Veer introduced the first theme UC as an Engaged University. He said that the aim is to give UC stronger connections to the city and to mana whenua and a space in the city that would be the first port of call for those wishing to connect with UC.

A member asked how existing arrangements around work-integrated and community engaged learning will fit with the new proposals in the plan? Associate Professor Veer said that the priority actions were intentions to explore further and that the details had not yet been worked through but that there were many examples across UC which could help build up a picture of what has worked well and not worked so well.

A question was asked about the cost of moving UC's footprint into the CBD, bearing in mind that UC has a large campus and has faced scrutiny of its space utilisation in the past. The Chair responded that the landscape of universities is changing, and that another university has indicated that it will be expanding its presence in Christchurch so UC needs to look to the future. The Dean of Arts added that since Classics and Music had moved into the Arts Centre the level of public engagement had risen dramatically. A further suggestion was that campus should also be made more connected to the public.

A member suggested that the text should include political engagement with Councils and District Health Boards alongside economic, social and sustainability links. The possible tensions between growth and sustainability were also noted.

Professor Mazey introduced the Internationalisation theme. She highlighted the aspirational aim of introducing a UC-wide 75 point 'International Experience' saying that further consultation would be necessary and that this might not work for all Colleges. The aim is to simplify the student exchange process, but also to consider other options such as onshore and industry shadowing experiences. She confirmed that the group had considered - in the light of complex global pressures on students and information - the moral imperative of offering a values-based curriculum, in line with UN thinking, and that considerations around values and synergies would be considered when identifying university partners.

Questions were asked around why particular regions were identified in the actions. Professor Mazey said that these were aspirations and that UC would continue working in other current markets such as South Asia but that it was important to have a future pipeline of students. She said that the Asia Pacific region was intended to include China, the Americas and Japan as well as the Pacific Islands and members suggested that the terms Pacific rim and Pacific basin should be included.

Professor Moran introduced the Education theme. She spoke about the intention to establish a Centre for Academic Success, working on a general educational framework, new initiatives such as micro credentials and professional doctorates and accessing more diverse student cohorts. She acknowledged that there would need to be a prioritising process as students would not be able to take part in all the new aspects within a three year degree.

A member proposed a motion:

*That although the annual period during which the university is in session currently has served its members well, this board believes that a comprehensive review of the present arrangements is appropriate to establish whether from 2023 arrangements more in keeping with contemporary society and civic thinking should be established.*

He suggested that the university should consider being in session for 40 weeks a year. The Chair observed that with the current Summer School programme and with the College of Education, Health and Human Development commencing teaching in mid-January, a significant proportion of teaching already extended beyond 24 weeks. The motion was not supported.

The Chair introduced the Research theme. He noted that both the Research committee and the working group including Academic Board members had produced the priority list. The intention was to create a framework of research themes to allow staff to generate ideas, alongside the continuation of existing research. There would be up to four new research clusters, each with a hoped for critical mass of academics with more details to follow including a call for interest in 2020.

A member asked why the proposal to establish strategic partnerships was concentrated on the Asia-Pacific region. The Chair said that this should not be a disincentive for existing partnerships, but as New Zealand is part of the Asia-Pacific rim, UC will in future focus more effort on collaboration with these countries. A member observed that the effectiveness of the strategy would depend on staff and there were many different initiatives proposed in extending teaching and research. She suggested that the workload model be revisited, alongside looking at recognition, promotion and rewards.

The intention to invest in e-infrastructure was queried. The Chair said that UC would re-join NeSI (New Zealand eScience Infrastructure) in 2020 as a first step. A member noted that postgraduate students play a significant part in UC's research but are not mentioned in this theme. The Chair said that they are covered in the Nurturing Staff and Students theme, and that the plan is to increase doctoral student numbers from 1,000 to 1,300 over the next five years. Post-doctoral fellows also play a crucial role.

Ms Lynn McClelland introduced the People theme, by saying that the group which had pulled it together had involved both staff and students, but that there will be more engagement to come on how the actions will be put into practice. A member who had been part of the group commented that she did not feel that some of the key thoughts of those involved had been reflected in the five priorities, in particular the ways to support staff and release them from procedural paralysis.

Professor Jan Freeman-Evans introduced the Environmentally Sustainable theme. She said that the group had looked at the full ten year period, with the aim of becoming carbon net neutral by 2030. In the short term, replacing the coal boilers was a top priority, alongside mapping and badging courses against the UN sustainable development goals. She noted that there had been wide-ranging discussions in the group, including on water consumption, and that they had received valuable insight on carbon sequestration from colleagues in the School of Forestry.

Mr Keith Longden spoke about the Organisational Efficacy theme. He said that UC was the most dependent of all New Zealand universities on government funding which posed a risk so increasing the diversity of revenue stream was important. A member asked about where UC funds are being invested. Mr Longden said that the Council has approved a goal of investing under 1% of trust funds in fossil fuels, so UC was in the process of divesting where possible and that there was increased understanding that this did not need to lead to lower returns on investments.

A member suggested that from his recent experience, buying locally was not necessarily efficacious or cheap. Mr Longden replied that the intention was that if there is an equivalent then buying local should be preferred. In response to a query about how to measure the efficiency of courses, he said that the TEC are looking at the viability of small taught courses from 2020.

The Chair proposed that the Board endorse the direction of the implementation plan. A member expressed his concern that the long list of actions had not been widely shared particularly among general and professional staff and that the process had been rushed. The Chair replied that the more detailed actions available via the Sharepoint site were intended to cover the next decade, and would need further prioritising and costing but that the discussion and advice to Council should focus on the immediate priorities listed in the main agenda papers.

A member proposed a motion:

*That further discussion on the strategy implementation plans be adjourned to the next meeting to allow wider consultation.*

The motion was not supported.

**The Chair Moved:**

*That the Academic Board endorses the direction of travel of the priority actions listed in the seven key themes of the Strategy Implementation plans, but recognises that further views around the detail of the plans will need to be considered at a later date.*

**Carried**

**ACADEMIC REVIEW – MASTER OF AUDIOLOGY**

The Dean of Science took the report as read. She thanked the panel for their work and commended the useful recommendations which were already being worked on.

**Moved**

That the academic review for the Master of Audiology be received.

**Carried**

**GENERAL BUSINESS**

The Chair indicated that the Vice-Chancellor will present her reflective views of Academic Board, in the context of the Academic Board Working Group review, at the next meeting.

**REPORT FROM THE ACADEMIC ADMINISTRATION COMMITTEE**

A member asked if the Grade Variability reports would be made available. Professor Moran confirmed that they could be, and noted that a further report was due to be discussed at the AAC meeting in the following week. The member also asked whether a discussion on the composition of the AAC had taken place. Professor Moran said that the decision had been made to defer any changes in composition until after the review of the Academic Board which was due in November.