


Council Agenda Part A (Open Agenda) 10.12.2025 Council Room – Level 2 ClockTower, Princes Street 22, Auckland 4:00pm		 Waipapa Taumata Rau University of Auckland	Page #
COUNCIL BRIEFINGS	These will take place prior to the meeting		
KARAKIA	The meeting will be opened with the following karakia:		
	Te Reo: Tūkua te wairua kia rere ki ngā taumata Hei ārahi i ā tātou mahi Me tā tātou whai i ngā tikanga ā rātou mā Kia mau, kia ita Kia kore ai e ngaro Kia pupuri Kia whakamaui Kia tina! TINA! Hui e! TĀIKI E!	English Translation: Allow one's spirit to exercise its potential To guide us in our work As well as in our pursuit of our ancestral traditions Take hold and preserve it Ensure it is never lost Hold fast Secure it Draw together - Affirm	
1. APOLOGIES	Apologies have been received from Ms Quinn	The Chancellor moves that the apologies, be noted .	
2. WELCOME	The Chancellor welcomes Ms Sunisha Dugar.		
3. DISCLOSURES OF INTEREST BY MEMBERS	<p>3.1 Council Interest Register for 2025 – members are asked to advise Wendy (w.verschieren@auckland.ac.nz), as soon as possible when changes are required.</p> <p>3.2 In addition to the requirement for Council to complete an annual Interest Register the attention of Members is drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.</p>	The Chancellor moves Council Interest Register for 2025 be received and the additional disclosures, if any, be noted and the action taken be endorsed .	12

4. COUNCIL MEETINGS	4.1 Council, Draft Minutes (Part A), 15.10.2025	The Chancellor moves that the Minutes (Part A), 15.10.2025 be taken as read and confirmed .	16
	4.2 Matters arising from the Minutes (Part A), 15.10.2025 not elsewhere on the Agenda		
5. VICE-CHANCELLOR'S REPORT		The Chancellor moves that the Vice-Chancellor's Report be noted .	26
6. REPORTS OF COUNCIL COMMITTEES	6.1 FINANCE COMMITTEE 6.1.1 Minutes, (Part A), 19.11.2025	The Chancellor moves that the Finance Committee Minutes (Part A) 19.11.2025 be received .	38
	6.2 AUDIT AND RISK COMMITTEE 6.2.1 Minutes, (Part A), 10.11.2025	The Chancellor moves that the Audit and Risk Committee Minutes (Part A) 10.11.2025 be received .	40
	6.3 CAPITAL EXPENDITURE COMMITTEE 6.3.1 Minutes, (Part A), 04.11.2025	The Chancellor moves that the Capital Expenditure Committee Minutes (Part A) 04.11.2025 be received .	42
	6.4 UNIVERSITY EQUITY LEADERSHIP COMMITTEE 6.4.1 December 2025 report	The Chancellor moves that Council receive the December 2025 report of the University Equity Leadership Committee	44
	6.5 NAMING COMMITTEE 6.5.1 Memorandum, 01.12.2025 from the Chancellor 6.5.2 Draft Naming Policy 6.5.3 Draft Naming Procedures	The Chancellor moves that Council receive the memorandum and approve the Draft Naming Policy and Procedures	47 48 52

	<p>6.6 RŪNANGA</p> <p>Memoranda, 03.12.2025 from Rūnanga regarding:</p> <p>6.6.1 Feedback on the Freedom of Expression Statement</p> <p>6.6.2 Office of the Pro Vice-Chancellor Māori Cross Portfolio Work Programme 2025</p>	<p>The Chancellor moves that Council receive the Memoranda, 03.12.2025</p>	<p>54</p> <p>56</p>
7 SENATE MATTERS	<p>7.1 REPORT OF SENATE MEETING 17.11.2025</p> <p>Part A1, a-f: Policy and other matters requiring to be considered/received by Council</p> <p>Part A2,1-3: Matters requiring Council approval</p> <p>Part B, 1-2: Items to note by Council</p> <p>Part C, 1-2: Matters handled under Delegated Authority</p>	<p>The Chancellor moves that the recommendations in Part A of the Report of Senate, 17.11.2025 be adopted and Part B and C be noted.</p>	58
8 CORRESPONDENCE REFERRED BY THE CHANCELLOR	None		
9 OTHER MATTERS FOR DECISION OR NOTING	<p>9.1 SEAL</p> <p>Since the Council meeting on 15.10.2025 the seal has been applied to the following document in accordance with the Council resolution of 18.02.1991:</p> <ul style="list-style-type: none"> Deed of Lease – Rooms specified in Appendix A in Building 311 (Student Union Building) and Building 322 (AUSA House, Alfred Street) City Campus Auckland – University of Auckland (Landlord) and the Auckland University Students Association Inc (Tenant) Deed of Nomination – 118 Grafton Road, Auckland Central, Auckland – Michael Howell Holloway (Nominator) and the University of Auckland (Nominee) 	<p>The Chancellor moves that the affixing of the seal to the listed document be noted.</p>	
	<p>9.2 FREEDOM OF EXPRESSION STATEMENT</p>	<p>The Chancellor moves that Council adopt</p>	63

	<p>9.2.1 Memorandum, 01.12.2025 from the Chair of the VC's Advisory Group on Freedom of Expression, Mrs Adrienne Cleland</p>	<p>The following Freedom of Expression Statement: Waipapa Taumata Rau, University of Auckland fulfils a role as a critic and conscience of society through the protection and promotion of freedom of expression and academic freedom. Our university is a place where diverse cultures, identities, ethnicities and value systems contribute to research, teaching, and related activities. Respect for everyone's right to express their views and a commitment to civil discourse are critical to our function.</p> <p>The University actively fosters and supports lawful and constructive debate by its staff and students on any topic, including with the participation of external speakers invited by a staff member, or a recognised student association or student club. The University may reasonably regulate the time, place, and manner of expression so that the ordinary activities of the University are not unduly disrupted.</p> <p>The University, as an institution, will not take public positions on matters that do not directly concern university roles, functions or duties. Official University spokespeople may make public statements on matters directly related to university roles, functions or duties, including the wellbeing and safety of staff and students, financial and resource management, sustainability, equity, and university obligations related to Te Tiriti o Waitangi as laid out in the Education and Training Act 2020. Institutional neutrality is not a retreat from important conversations, but a commitment to creating an environment where such conversations can freely take place.</p>	
	<p>9.3 SCHOLARSHIPS AND PRIZES STATUTE 2025 DELEGATIONS</p> <p>9.3.1 Memorandum, 02.12.2025 regarding the Scholarships and Prizes Statute 2025 - Delegations</p>	<p>The Chancellor moves that Council:</p> <p>1. APPROVE the subdelegation by the Vice-Chancellor of the following functions and powers to one or more staff members, pursuant to section 286(5)-(6) of the Act:</p> <p>(a) approve the form of Specific Terms for scholarships and for prizes in section 4(2)-(3) of the Statute;</p>	67

		<p>(b) stipulate, amend, and/or revoke the Specific Terms for a scholarship or prize in section 4 of the Statute;</p> <p>(c) appoint a selection body for a scholarship or prize where required in section 8(2) of the Statute; and</p> <p>(d) grant a scholarship or prize pursuant to section 8(1) of the Statute.</p> <p>2. NOTE that the exercise of the remaining functions and powers in the Statute are within the jurisdiction of the Vice-Chancellor as the manager of the academic and administrative affairs of the University pursuant to section 294(1) of the Act and may be subdelegated by the Vice-Chancellor to one or more staff members of the University pursuant to section 295 of the Act.</p>	
	<p>9.4 DELEGATIONS DOCTORAL DEGREES AND MPhil</p> <p>9.4.1 Memorandum, 03.12.2025 regarding Council delegations – Doctoral Degrees and MPhil</p>	<p>The Chancellor moves that Council, with effect from 01.02.2026:</p> <p>a. Revoke all delegations made by Council to the Board of Graduate Studies (BOGS) existing as at 31 December 2025.</p> <p>b. Delegate to the Vice-Chancellor (or delegate) the power to determine:</p> <p>i. all matters pertaining to admission, registration, enrolment, candidature, supervision and examination for the degrees of Doctor of Philosophy (PhD); Doctor of Clinical Psychology; Doctor of Education; Doctor of Fine Arts; Doctor of Health Sciences; Doctor of Medicine; and Doctor of Medical Sciences (named doctorates) and for doctoral adjacent postgraduate certificates</p> <p>ii. all matters pertaining to admission, registration, enrolment, candidature, and examination for the degrees of Doctor of Engineering; Doctor of Laws; Doctor of Literature; and Doctor of Science (higher doctorates)</p> <p>iii. the award of all PhDs, named doctorates and higher doctorates</p> <p>iv. all matters pertaining to admission, registration, enrolment, candidature, supervision and examination for the Master of Philosophy (MPhil)</p>	69

		<p>v. the award of the degree of MPhil.</p> <p>c. Vest in the Vice-Chancellor (or delegate) all the powers and duties delegated to and/or vested in BOGS by the statutes and regulations made by Council and policies and procedures approved by Council listed in the Appendix 1.</p> <p>d. Delegate to the Vice-Chancellor the power to approve the amendment of the statutes, regulations, policies and procedures listed in Appendix 1 to give effect to the resolution in item c).</p> <p>e. Approve the subdelegation by the Vice-Chancellor of the powers and duties delegated to and/or vested in the Vice-Chancellor under items b-d (or any of them) to staff members of the University.</p> <p>And that Council, with effect from 01.01.2026:</p> <p>(a)Amend the definition of Associate Dean/Director (Postgraduate Research) in each of the statutes, regulations, policies and procedures listed in Appendix 2 so that the definition reads as follows: Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person's nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.</p> <p>(b)Amend the statutes, regulations, policies and procedures listed in Appendix 3 in the way described in Appendix 3.</p>	
	<p>9.5</p> <p>STANDARD OPERATING PROCEDURES (SOPS) FOR INSTITUTIONAL ETHICS COMMITTEES (IECS)</p>	<p>The Chancellor moves that Council approve the revised Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs) (Version 1.1)</p>	76

	<p>9.5.1 Memorandum, 10.12.2025, from the Deputy Vice-Chancellor (Research and Innovation, Professor Frank Bloomfield)</p> <p>9.5.2 Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)</p>		
	<p>9.6 DEED OF INDEMNITY (DOI) FROM THE UNIVERSITY OF AUCKLAND AND THE FOUNDATIONS</p> <p>9.6.1 Memorandum, 01.12.2025 from the Chief Financial Officer, Mr Tim Bluett</p> <p>9.6.2 Deed of Indemnity from the University to the Foundations</p> <p>9.6.3 Memorandum of Understanding (MoU) between the University and the Foundations</p>	<p>The Chancellor moves that Council approve the adoption of a new Deed of Indemnity from the University to the Foundations, and delegate to the Chancellor and Vice-Chancellor to execute the DoI on behalf of the University, as per the memorandum.</p>	102
10 ELECTIONS - APPOINTMENTS	<p>10.2 ELECTION OF THE STUDENT REPRESENTATIVE ON COUNCIL</p> <p>10.2.1 Memorandum, 27.11.2025 From the Returning Officer, Mrs Adrienne Cleland</p>	<p>The Chancellor moves that Ms Sunisha Dugar be appointed as the student representative on Council for a two-year term (1 November 2025 – 31 October 2027).</p>	119
11 GENERAL BUSINESS	<p>11.1 MEETING AND GRADUATION DATES 2026</p> <p>Council meeting dates: 16.03.2026, 29.04.2026, 10.06.2026, 24.08.2026, 19.10.2026, 09.12.2026</p> <p>Finance Committee meeting dates 26.02.2026, 18.05.2026, 04.08.2026, 21.09.2026, 12.11.2026</p> <p>Audit and Risk meeting dates: 03.03.2026, 15.05.2026, 14.09.2026, 09.11.2026</p> <p>Capital Expenditure meeting dates: 05.03.2026, 29.07.2026, 01.10.2026</p>		

	Graduation: Tai Tokerau: 10.03.2026 Autumn: 04-07.05.2026 Spring: TBD	
12 LEAVE OF ABSENCE	(for the meeting of 16.03.2026)	

PUBLIC EXCLUSIONS

The Chancellor moves that the public be excluded from Part B of this meeting.

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

General subject of each matter to be considered:

Item No. 1.1	Council Minutes Part B 15.10.2025
Item No. 2.1.1	Finance Committee – Minutes Part B 19.11.2025
Item No. 2.2.1	Audit and Risk Committee Minutes Part B 10.11.2025
Item No. 2.2.2	Health, Safety & Wellbeing Programme Update
Item No. 2.2.3	Scope of Officers' Responsibilities
Item No. 2.3.1	Capital Expenditure Committee Minutes Part B 04.11.2025
Item No. 2.3.2	Hono Human Connections Programme Update
Item No. 2.4.1	Honours Committee
Item No. 2.5.1	Animal Ethics Committee – membership
Item No. 2.6.1	Biological safety Committee – membership
Item No. 2.7.1	Auckland Health research Ethics Committee – membership
Item No. 2.8.1	Human Participants Ethics Committee – membership
Item No. 3.1	Correspondence referred by the Chancellor

Reason for passing this resolution in relation to each matter:

The protection of the interests mentioned below.

Grounds under section 48(1) for the passing of this resolution:

Those in Section 9 of the Official Information Act 1982 namely:

- i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations;
- ii) To enable the University to carry on without prejudice or disadvantage negotiations; and
- iii) To prevent the disclosure or use of Official Information for improper gain or advantage.

AND THAT Mark Gregory, Professors Young, and Bloomfield F, Adrienne Cleland, Andrew Phipps, Tim Bluett, Helen Cattnach, Cameron Thomas, Simon Neale, Anthony Brandon, and Wendy Verschaeren be permitted to remain for this part of the meeting, after the public has been excluded, because of their knowledge of, or need to be briefed about, the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of The University of Auckland for which those persons are responsible.

The University of Auckland


Interests Register for Members of UoA Council 2025

Name of Member	Interests	Updated
Gemma Skipper	employee of the University and having friends/family who work at UoA	29.01.2025
Julia Pahina	<ul style="list-style-type: none"> Fibre Fale Limited - CEO & Co-Founder Grant Evaluation Panel Member (Contract) - Ārohia Innovation 	29.01.2025 Chat during Council meeting 15.10.2025
Dawn Freshwater	Chair Research Committee UNZ (2021) Member UNZ Board Director APRU (2021), Vice-Chair since 2022 Board Director World Universities Network (2021) Deputy Chair Research Australia Board	03.02.2025
John Paitai	Trustee - Te Tai Tokerau Maori Trust Board (2013 - Trustee - Roma Marae - Ahipara (2011 - Trustee - 2 Te Ahu Street, PAP Pastorate Residential Property (2019 - Trustee - Centre for Brain Research Auckland University (2022 - Trustee - Hui Amorangi Tai Tokerau 2023 - Chair - Roma Marae Trustees (2000 - Chair - Roma Marae Committee- Ahipara (2011- Chair - Roma Marae Kaumatua Flats Chair - Ahipara A7 Trust (1999 - Chair - Nga Urupa o Ahipara 5,7,48 (2011 - Chair - St Clement's Maori Anglican Church Restoration Committee (2007 -) Chair - Parengarenga, Ahipara, Peria, Anglican Maori Pastorate, Aotearoa (2019 - Member - Kaumatua / Maori Representative on University of Auckland Council (2020 - Member - Far North Justice of Peace Association Member (2022 - Member - Tane Tautoko Aotearoa (2024 - Member - Marae Takiwa o Ahipara (2019 - Member - Ahipara Aroha (2019 - Kaumatua - Kaikarakia - St Clement's Anglican Maori Church - Ahipara (2000 - Kaumatua - Te Runanga o Te Rarawa (2019 - Kaumatua - Te Tai Tokerau Maori Womens' Welfare League (2014 - Kaumatua - Te Ohaki Kohanga Reo, Ahipara School and Kaitaia College (2000 - Kaumatua - Nga Iwi o Te Tai Tokerau & Northland Police Cultural Advisor (2019 - Kaumatua - Far North Safer Communities Trust (2021)	17.02.2025
Sunisha Dugar	<ul style="list-style-type: none"> International student at the University of Auckland Employee at Auckland Council as swim instructor Involved in student leadership across university contexts through clubs. Currently, Co-President of Amnesty International on campus and academic support co-ordinator for Auckland University Psychology Association. Scholarship recipient for Summer Research (finishes by March 2026) and Short-term exchange (12th to 25th January, 2026). Strongly connected with UN Youth New Zealand since 2023 across multiple capacities but currently for the short term as a co-ordinator (finishes by April 2026). 	01.12.2025

Julia Tolmie	Employed by the University of Auckland	29.01.2025																														
Cathy Quinn	i) is on the board of Fletcher Building ii) is a trustee of the Kintyre Trust with a corporate trustee Pin Twenty Limited iii) is a consultant to MERW iv) chair of Fertility Associates v) is a director of Fonterra	26.05.2025																														
Rob McDonald	Chair Contact Energy Limited 2015- present FleetPartners Group Joined boards of the Suncorp NZ group of companies. Effective 01.03.25	16.02.2025 and 26.02.2025																														
Jonathan Mason	Companies (Director or Major Shareholder): Zespri. NZ US Council (Chair) Chair of the Auckland Branch of the Institute of Directors and Trustee for Beloit College in Wisconsin, USA. Charitable Trusts / Public Bodies / Incorporated Societies (governance role unless otherwise noted): World Wildlife Fund for Nature (NZ), Dilworth Trust Board. Advisors to the Foundations: Cambridge Associates (via Dilworth Trust Board) Beneficiaries of the Foundations: UoA Faculty of Business & Economics (Honorary Adjunct Professor of Management).	29.01.2025																														
Cecilia Tarrant	<table border="1"> <thead> <tr> <th></th><th>Director/Officer/Shareholder</th><th>Company/Organisation/Business Entity</th></tr> </thead> <tbody> <tr> <td>i</td><td>Director/Shareholder</td><td>Seeka Limited</td></tr> <tr> <td>ii</td><td>Director and interim Chair</td><td>Payments NZ Limited</td></tr> <tr> <td>iii</td><td>Chancellor</td><td>The University of Auckland Council</td></tr> <tr> <td>iv</td><td>Director/Shareholder</td><td>Javan Cream Company Limited</td></tr> <tr> <td>v</td><td>Advisory Board</td><td>The Seriously Good Chocolate Company Limited</td></tr> <tr> <td>vi</td><td>Trustee</td><td>Tere Waitomo Community Trust</td></tr> <tr> <td>vii</td><td>Advisory Board</td><td>Southern Pioneers Food Hub</td></tr> <tr> <td>viii</td><td>Executive in residence</td><td>At UABS</td></tr> <tr> <td>ix</td><td>Member</td><td>Diocesan Administration Council for the Catholic Diocese of Auckland and of the Investment Committee</td></tr> </tbody> </table>		Director/Officer/Shareholder	Company/Organisation/Business Entity	i	Director/Shareholder	Seeka Limited	ii	Director and interim Chair	Payments NZ Limited	iii	Chancellor	The University of Auckland Council	iv	Director/Shareholder	Javan Cream Company Limited	v	Advisory Board	The Seriously Good Chocolate Company Limited	vi	Trustee	Tere Waitomo Community Trust	vii	Advisory Board	Southern Pioneers Food Hub	viii	Executive in residence	At UABS	ix	Member	Diocesan Administration Council for the Catholic Diocese of Auckland and of the Investment Committee	29.01.2025 12.06.2025
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Candace Kinser	President of Cancer Society Auckland Northland (donor to UofA) Chair of Helius Therapeutics (steps down on 30.06.2025) Committee Member for Return on Science, Auckland UniServices Director and Shareholder, Sagittas Consulting Ltd Director and Shareholder, Vester Ltd Director for Plant and Food Research (steps down on 30.06.2025) BioEconomy Science Institute (as of 01.07.2025) Kiwifruit Breeding Centre (joint venture between Zespri and the Bioeconomy Science Institute) (Director from September 2025) Callaghan Innovation (from September 2025)	29.01.2025 11.06.2025 14.10.2025																														
Sam Ricketts	<ul style="list-style-type: none"> Co-Head of Investment Banking & Co-Head of Investment Bank, NZ - Jarden Director – Jarden Investments Limited Director – Jarden Principal Investments Limited Director – Jarden Structured Investment Limited 	24.09.2025																														

	<ul style="list-style-type: none"> • Director – Jarden Principal Investments Picasso GP Limited • Director – Jarden Nominees GP Limited • Director – Jarden Nominees Limited • Director – Jarden Partners Limited • Director – Jarden Securities Limited • Director – Jarden Management Limited • Director – Jarden Private Partners Limited • Director – Jarden Principal Investments Picasso PIE Limited • Director – Jarden Principal Investments Red Limited • Director – Jarden Custodial Services Limited • Director – Jarden Finance Limited • Director – Jarden PT Limited • Director – Jarden Scientific Trading Limited • Director – Jarden Scientific Trading Trustee Limited • Director – Jarden Limited • Director – Jarden Nominees No2 Limited • Director – Jarden Scrip Limited • Director – OMF Nominees Limited • Director – Jarden Wealth and Asset Management Holdings Limited • Director – Jarden Wealth and Asset Management Limited • Director – Oceania and Eastern Securities Limited • Director – Oceania and Eastern Finance Limited • Director – Oceania and Securities Limited • Director – Janmac Capital Limited • Director – Quartet Equities Limited • Director – Maisemore Enterprises Limited • Director – O & E Group Services Limited • Director – Oceania and Eastern Limited • Director – Oceania and Eastern Group Funds Limited • Director – Oceania and Eastern Holdings Limited • Director – Onepoto Trustee Limited • Director – Oceania North Limited • Director – Onepoto Investments Holdings Limited • Trustee of the Samuel Thomas Ricketts Trust • Trustee of the ST & MFDP Ricketts Family Trust • Trustee of the Ricketts Family Trust • Trustee of the Ipipiri Nature Conservancy Trust • Chair of the Sacred Heart College Development Foundation Trust • Shareholder – Jarden Group Limited 	
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Excerpts from Council Minutes 2025		
Date of Council Meeting	Name of Member and Interest Disclosed	Action Taken
17.03.2025	<ul style="list-style-type: none"> • With regard to item 2.3.4 in Part B, Ms Skipper advised Council that her brother worked for the construction company proposed in that item. • With regard to item 2.3 in Part B Mr Fia declared a conflict with the Melanesian Mission Trust Board 	It was agreed that these declared conflicts would not preclude the members participating in the discussions and voting.
28.04.2025	No disclosures were made	
11.06.2025	The Chair and Mr McDonald declared an interest in item 5.1 in Part B, as they both would be sending in Expressions of Interest.	They would not take any part in the process related to the relevant position for which they intend to lodge an Expression of Interest and would not be part of any meeting where their candidacy would be discussed.
27.08.2025	The Chair and Mr McDonald declared an interest in item 2.4 in Part B, as they both had sent an Expression of Interest.	They did not take any part in the appointment process related to the relevant position for which they lodged an Expression of Interest and were not part of the meeting where their candidacy was discussed.
15.10.2025	Mr Fia declared an interest in item 8.1.2 in Part A, as he and his siblings were students at the University.	It was agreed that this declared conflict would not preclude the member from participating in the discussions and voting.

Council Minutes Part A (Open Minutes) 15.10.2025 Online via Zoom 4:00pm		 Waipapa Taumata Rau University of Auckland
PRESENT:	Ms Tarrant (Chair), Professor Freshwater (Vice-Chancellor), Ms Pahina, Ms Kinser, Mr Mason, Mr Paitai, Mr Fia, Ms Skipper, Ms Quinn, Mr Ricketts	
IN ATTENDANCE:	Professors Young and Stinear, Dr Lithander, Mr Bluett, Ms Cattnach, Mr Thomas, Mr Tonkin, Mr Brandon, Mr Phipps, Ms Litten and Ms Verschaeren	
1. APOLOGIES	Professor Tolmie and Mr McDonald	RESOLVED (Chancellor/Vice-Chancellor): that the apologies, be noted .
2. WELCOME	The Chancellor welcomed Mr Sam Ricketts, as a skills representative to Council.	
3. DISCLOSURES OF INTEREST BY MEMBERS	<p>3.1 Council Interest Register for 2025 – members were asked to advise the University Committee Executive (w.verschaeren@auckland.ac.nz), whenever changes were required.</p> <p>3.2 In addition to the requirement for Council to complete an annual Interest Register, the attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.</p> <p>Mr Fia declared an interest in item 8.1.2 in Part A, as he and his siblings were students at the University.</p> <p>It was agreed that this declared conflict would not preclude the member from participating in the discussions and voting.</p>	<p>RESOLVED (Chancellor/Ms Quinn): that the Council Interest Register for 2025 be received and the action taken regarding item 8.1.2 in Part A be endorsed.</p> <p>The motion was CARRIED unanimously</p>
4. CONFERMENT OF DEGREES	With the authority of Council, the Chancellor conferred the degrees as per the attached list.	

5. AWARD OF DIPLOMAS	With the authority of Council, the Chancellor awarded the diplomas as per the attached list.	
6. COUNCIL MEETINGS	<p>6.1 Council, Draft Minutes (Part A), 27.08.2025</p> <p>Council asked that a correction be made to the spelling of the name of Ms Pahina.</p>	<p>RESOLVED (Chancellor/Mr Mason): that the Minutes (Part A), 27.08.2025 be taken as read and confirmed, subject to the requested correction.</p> <p>The motion was CARRIED unanimously</p>
	6.2 Matters arising from the Minutes (Part A), 27.08.2025 not elsewhere on the agenda	
7. VICE-CHANCELLOR'S REPORT	<p>The Report was taken as read.</p> <p>The Vice-Chancellor, Professor Freshwater, presented this item.</p> <p>She supplemented the Report with additional information, particularly regarding the rapidly evolving policy environment.</p> <p>A meeting of the University Strategy Group was held on 9 October, focusing on the establishment of terms of reference and the advancement of the tertiary education strategy, with particular attention to international education and programme quality assurance.</p> <p>Collaborative initiatives with Science New Zealand, Universities New Zealand, and Crown Research Institutes were noted, with research funding to be consolidated under a single Research Funding Council in response to concerns about duplication and to support national research priorities.</p> <p>Policy settings, including those related to freedom of expression (FoE), were discussed, and the Minister's acceptance of a proposal regarding future FoE surveys was acknowledged. Council was reminded that the University consultation was ongoing and, a FoE statement would be presented to Council upon its conclusion.</p> <p>The University's continued success in global rankings was highlighted, with the largest number of top 2% researchers in the University's history reported.</p> <p>Staff survey results indicated high engagement, and plans for further discussion were outlined. An all-staff webinar about this was planned for Friday 17.10.2025.</p>	

	<p>Council was informed of the imminent arrival of Mark Gregory, the new Chief Operating Officer, and the upcoming appointments of a new Director of Governance and a new Director of Strategy and Planning.</p> <p>The Vice-Chancellor concluded with congratulations extended to the University community for successes in graduations, recognition for entrepreneurship and innovation, and continued global achievements.</p> <p>During the question period, Council discussed the narrative surrounding university rankings and the importance of communicating the University's elite position within the global context.</p>	
8. REPORTS OF COUNCIL COMMITTEES	<p>8.1 FINANCE COMMITTEE</p> <p>8.1.1 Minutes, (Part A), 26.09.2025</p> <p>8.1.2 Domestic Student Fees 2026 and International Student Fees 2027</p> <p>This item was introduced by the Deputy Vice-Chancellor Corporate Services and Chief Financial Officer, Mr Bluett.</p> <p>The paper was taken as read and the following was noted:</p> <p>The proposed domestic fee increase was discussed in the context of maintaining financial sustainability, adhering to Government policy settings, and ensuring the quality of the student experience. The domestic fee component represented a portion of the total student income, with the remainder provided through Government funding. The Government's prioritisation of certain subjects was reflected in the subsidy increases, while other areas received no increase. The temporary funding that the University received in 2024 and 2025 was being removed in 2026. For 2026 the proposed domestic fee increase was set at the Government-approved maximum of 6%, resulting in a weighted average increase of approximately 3% when combined with the Government funding level. It was observed that, despite these increases, a cumulative shortfall against the Consumer Price Index had developed since 2020. Council acknowledged the ongoing cost-of-living challenges faced by students and noted the availability of significant scholarship and hardship funds to provide support. Council recommended that the availability of these scholarships and hardship funds be communicated to students.</p>	<p>RESOLVED (Chancellor/Mr Paitai): that the Finance Committee Minutes (Part A) 11.08.2025 be received.</p> <p>The motion was CARRIED unanimously</p> <p>RESOLVED (Chancellor/Ma Quinn): that Council:</p> <ul style="list-style-type: none"> i) Approve the attached Domestic Fees Schedule for 2026 in line with the Government's AMFM (Appendix A). ii) Approve the attached International Fees Schedule for 2027 including Study Abroad, Up Education and ELA Fee Schedule (Appendix B). iii) Authorise the Vice-Chancellor to assign any new programmes, including Government (DQ7+) funded micro-credentials, or programmes be coming newly available to international students in 2027, to an appropriate band to enable offers to be made during the recruitment cycle, and report these decisions back to the Council. iv) Authorise the Vice-Chancellor to set fees for non-Government (DQ7+) funded Micro-credentials and for University programmes delivered off-shore subject to such fees being reported to the Council meeting immediately following. v) Approve a Compulsory Student Services Fee increase of 2.2% increase and the associated

	<p>In addition, the importance of clear communication with students and stakeholders regarding the rationale for fee increases and the allocation of the Compulsory Student Services Fee was emphasised.</p> <p>The international fees, which were not regulated, were reviewed with reference to market positioning, demand and quality of the offerings at the University. The proposed increase for 2027 was, similar to 2026, set at 5%, with some exceptions to align specific courses with market rates.</p> <p>The Compulsory Student Services Fee was proposed to increase by 2.2% following consultation with students, and it was important for students to know that that student input was important and an integral part of the fee setting process and the allocation of the fee across services.</p>	<p>changes to the student fee schedule (Appendix C).</p> <p>vi) Approve the attached Other Fees Schedule for 2026 (Appendix C)</p> <p>The motion was declared CARRIED with Mr Fia dissenting.</p>
8.2	AUDIT AND RISK COMMITTEE	RESOLVED (Chancellor/Mr Mason): that the Audit and Risk Committee Minutes (Part A) 17.09.2025 be received .
8.2.1	Minutes, (Part A), 17.09.2025	The motion was CARRIED unanimously
8.3	NAMING COMMITTEE	RESOLVED (Chancellor/Ms Kinser): that the Naming Committee Minutes, (Part A), 17.09.2025 be received .
8.3.1	Minutes, (Part A), 17.09.2025	The motion was CARRIED unanimously
8.4	HONOURS COMMITTEE	RESOLVED (Chancellor/Mr Fia): that the Honours Committee Minutes, (Part A), 08.10.2025 be received .
8.4.1	Minutes, Part A, 08.10.2025	The motion was CARRIED unanimously
8.5	VICE-CHANCELLOR'S REVIEW AND EXECUTIVE REMUNERATION COMMITTEE (VCRERC)	
8.5.1	Minutes, (Part A), 14.08.2025 – Māori position	RESOLVED (Chancellor/Ms Quinn): that the VCRERC Minutes (Part A) 14.08.2025, Māori position be received .

		The motion was CARRIED unanimously
	<p>8.6 RŪNANGA</p> <p>8.6.1 Rūnanga Report 2 – 2025</p> <p>This item was presented by the Pro Vice-Chancellor Māori, Professor Hoskins.</p> <p>She conveyed a strong sense of disappointment from the Rūnanga members regarding the University's willingness to forego commitments of significant importance to Māori staff, students, and communities with regard to the Waipapa Taumata Rau (WTR) courses. She was of the opinion that these actions were being taken in a context of increasing social and political hostility towards Māori, and that stepping back from previous commitments was viewed as a lost opportunity for nation building and for advancing the University's graduate profile.</p> <p>In the subsequent discussion, appreciation was expressed for the efforts made by the Vice-Chancellor to preserve meaningful outcomes for students and for the extensive work undertaken by staff.</p> <p>Concerns were raised about the potential perception that the University's commitment to diversity and equity was being compromised by external pressures, and it was stated that this was regrettable. The importance of maintaining a strong voice for Māori within the University was emphasised.</p> <p>Council acknowledged these concerns and affirmed that the work undertaken on the WTR courses, and the broader curriculum transformation, was regarded as positive and meaningful for the graduate profile. It was proposed that the WTR courses would remain a requirement for many professional programmes and that for other programmes the commitment to the graduate profile remained. The more flexible approach responded constructively to student feedback.</p> <p>Further discussion would take place later when item 11.2 would be discussed.</p>	<p>RESOLVED (Chancellor/Ms Pahina): that the Rūnanga Report 2 - 2025 be received and that Council note the Runanga's advice relating to the Vice-Chancellor's proposed direction relating to Waipapa Taumata Rau courses.</p> <p>The motion was CARRIED unanimously</p>
9. SENATE MATTERS	<p>9.1 REPORT OF SENATE MEETING 15.09.2025</p> <p>Part A1, a: Policy and other matters requiring to be considered/received by Council</p> <p>Part A2,1-2: Matters requiring Council approval</p> <p>Part B, 1-3: Items to note by Council</p> <p>Part C, 1-5: Matters handled under Delegated Authority</p>	<p>RESOLVED (Chancellor/Ms Kinser): that the recommendations in Part A of the Report of Senate, 28.07.2025 be adopted and Part C be noted.</p>

	<p>9.2 REPORT OF THE SPECIAL SENATE MEETING OF 26.09.2025</p> <p>The Chancellor advised Council that the special Senate meeting of 26.09.2025 was convened with the primary purpose of discussing matters related to the appointment of the new Vice-Chancellor. The Chancellor, Representatives from the global executive search firm, Perrett Laver, and two members of the Vice-Chancellor's Selection Committee attended the meeting to engage with Senate on questions concerning the appointment process.</p> <p>Following the departure of the Chancellor and the representatives from Perrett Laver from the meeting, two motions were put to Senate for recommendation to Council.</p> <p>The Appointments Committee, constituted in accordance with its terms of reference, subsequently met to consider these motions. It was determined that neither motion, as presented, was supported for adoption by Council. Instead, the recommendation was formulated that Senate elect two of its members to participate in the focus groups that would meet with shortlisted candidates for the Vice-Chancellor position. This approach was intended to ensure appropriate academic representation while maintaining the integrity and robustness of the appointment process.</p> <p>In considering the motions, concerns had been raised regarding the diversity and purpose of the focus groups, as well as the practical limitations on the number of participants. The importance of selecting a diverse range of academic representatives for the focus groups was emphasised, with the intention that these individuals would effectively represent the University and address candidates' questions.</p> <p>During the meeting, clarification was provided regarding student involvement in the appointment process, with assurance given that student voices would be represented at the highest level of governance through the student representative's vote.</p>	<p>The motion was CARRIED unanimously</p> <p>RESOLVED (Chancellor/Ms Skipper): that Council invite two members of Senate, elected by Senate, to participate in the focus groups that will meet with shortlisted candidates for the Vice-Chancellor position.</p> <p>The motion was CARRIED unanimously</p>
<p>10. CORRESPONDENCE REFERRED BY THE CHANCELLOR</p>	<p>10.1 Letter, 30.09.2025 from Dr Parmjeet Parmar MP</p> <p>10.2 Letter, 29.09.2025 from Brendon Dunphy, Alan Cameron and Nicole Edwards</p> <p>10.3 Email 01.10.2025 from Professor Raine and the Vice-Chancellor's response of 01.10.2025</p>	<p>RESOLVED (Chancellor/Mr Mason): that Council receive the mentioned letters and email.</p> <p>The motion was CARRIED unanimously</p>

	10.4 Letter, 08.10.2025 from 426 University of Auckland staff signatories	
11. OTHER MATTERS FOR DECISION OR NOTING	<p>11.1 SEAL</p> <p>Since the Council meeting on 27.08.2025 the seal has been applied to the following document in accordance with the Council resolution of 18.02.1991:</p> <ul style="list-style-type: none"> • Deed of Renewal and Variation Lease – Taradise Holdings 2004 Ltd (Landlord) and the University of Auckland (Tenant) – Level 3, 50 Devon Street New Plymouth (UniServices – IMAC) • Deed of Accession – University of Southern Queensland, Darling Downs Hospital and Health Service, West Moreton Hospital and Health Service, and the University of Auckland – Collaborative Research Agreement dated 24/1/2025 • Deed of Variation, Renewal and Rent Review – Allens Road Joint Venture Nominee Ltd (Lessor) and the University of Auckland (Lessee) - Premises at 66 Allens Road East Tamaki Auckland 	<p>RESOLVED (Chancellor/Mr Ricketts): that the affixing of the seal to the listed document be noted.</p> <p>The motion was CARRIED unanimously</p>
	<p>11.2 VICE CHANCELLOR'S PROPOSED DIRECTION FOR WAIPAPA TAUMATA RAU COURSES</p> <p>11.2.1 Memorandum, 07.10.2025 from the Vice-Chancellor</p> <p>The Vice-Chancellor introduced this item.</p> <p>The background and context of the WTR courses' development were outlined, including the Council's previous request for a report and evaluation following the course's initial implementation. The Vice-Chancellor advised Council that feedback was gathered from a wide range of sources, including student evaluations, faculty input, external review, and correspondence from various stakeholders.</p> <p>It was reported that, while the WTR courses had received positive feedback for its value in supporting students' transition to the University, concerns were identified regarding content consistency across faculties, assessment, and clarity of purpose. The need for further work to address these issues was acknowledged, and it was emphasised that the WTR courses would not be removed from the curriculum. Instead, it was recommended that the courses remained compulsory only where relevant</p>	<p>RESOLVED (Chancellor/Ms Quinn): that Council;</p> <p>(i) Endorse the Vice-Chancellor's amended proposed direction for Waipapa Taumata Rau courses;</p> <p>(ii) Note Rūnanga advice as set out in the September Runanga report;</p> <p>(iii) Note Senate advice as set out in the September Senate report;</p> <p>(iv) Note Student Consultative Group advice as summarised in the memorandum; and</p> <p>(v) Note that decisions made in line with the Vice-Chancellor's direction will be implemented progressively as programme regulation and system changes allow.</p> <p>Voted in Favour of the motion: The Chancellor, Vice-Chancellor, Ms Quinn, Mr Fia, Mr Mason, Ms Kinser, and Mr Ricketts</p> <p>Voted against the motion: Mr Paitai and Ms Skipper</p> <p>Abstained:</p>

	<p>for professional accreditation, with increased flexibility offered through alternative General Education options in other programmes.</p> <p>Council was informed that the faculties would lead the process of refining the course content and structure in response to feedback, and that the benefits of the WTR courses would continue to be promoted to new students. The importance of maintaining strong relationships with Māori stakeholders and delivering on the University's graduate profile was emphasised. Operational risks associated with the proposed changes were discussed, and it was noted that risk mitigation strategies would be implemented.</p> <p>The significance of the student voice in the review process was highlighted, and it was clarified that the changes had arisen from an academic process rather than external pressure. The need for clear communication with stakeholders and the broader community was stressed, particularly in light of media interest and public commentary.</p> <p>Following discussion, Council endorsed the Vice-Chancellor's amended proposed direction for the WTR courses, noted the advice of the Rūnanga, Senate, and Student Consultative Group, and agreed that the changes would be implemented progressively as programme regulation and system changes allowed.</p>	<p>Ms Pahina</p> <p>The motion was declared CARRIED</p>
	<p>11.3 RESCINDMENTS</p> <p>11.3.1 Memorandum, 02.10.2025 from the Graduation Office regarding the rescindment of a degree and re-award with the Second Class Honours First Division milestone, as per the memorandum</p> <p>11.3.2 Memorandum, 02.10.2025 from the Graduation Office regarding the rescindment of a degree and re-award with the correct specialisation, as per the memorandum</p>	<p>RESOLVED (Chancellor/Mr Fia): that Council rescind the Master of Engineering Project Management Degree and re-award it with the Second Class Honours First Division milestone, as per the memorandum The motion was CARRIED unanimously</p> <p>RESOLVED (Chancellor/Mr Fia): that Council rescind the Doctor of Philosophy Degree and re-award it with the correct specialisation, as per the memorandum. The motion was CARRIED unanimously</p>
12 ELECTIONS - APPOINTMENTS	<p>12.1 ELECTION OF THE CHANCELLOR AND PRO CHANCELLOR</p> <p>The Acting Registrar, Mr Bluett, took the Chair for the first part of this item and the Chancellor left the meeting.</p>	

	<p>12.1.1 ELECTION OF CHANCELLOR FOR 2026</p> <p>Nominations were called for the position of Chancellor until 31.12.2026.</p> <p>One nomination only was received, for Ms Cecilia Tarrant (Ms Quinn/Mr Mason)</p> <p>There being no other nominations, the Acting Registrar declared Ms Tarrant re-elected as Chancellor for a term starting on 01.01.2026 and ending 31.12.2026.</p> <p>Carried by acclamation.</p> <p style="text-align: right;">The Chancellor returned to the meeting.</p> <p>12.1.2 ELECTION OF PRO-CHANCELLOR FOR 2026</p> <p>The Chancellor resumed the Chair for this part of the item and the Pro Chancellor left the meeting.</p> <p>Nominations were called for the position of Pro-Chancellor.</p> <p>One nomination only was received, for Ms Cathy Quinn (Chancellor/Mr Paitai).</p> <p>There being no other nominations, the Chancellor declared Ms Quinn re-elected as Pro-Chancellor for a term starting on 01.01.2026 and ending 31.12.2026 or such agreed earlier date.</p> <p>Carried by acclamation.</p>
13 GENERAL BUSINESS	As depending on the outcome of the current election of the student representative on Council, this could be Mr Fia's last meeting, the Chancellor thanked him for his contributions this year to the work of Council.
14 LEAVE OF ABSENCE	<p>(for the meeting of 10.12.2025)</p> <p>The Chancellor asked, as this would be an in-person meeting, if members could not attend to let the Secretary of Council know and copy the Chancellor in.</p>

PUBLIC EXCLUSIONS

RESOLVED (Chancellor/Vice-Chancellor): that the public be excluded from Part B of this meeting.

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

General subject of each matter to be considered:

Item No. 1.1	Council Minutes Part B 27.08.2025
Item No. 2.1.1	Finance Committee – Minutes Part B 26.09.2025
Item No. 2.1.2	Financial Performance 2025 to 2027
Item No. 2.2.1	Audit and Risk Committee Minutes Part B 17.09.2025
Item No. 2.2.2	Letter
Item No. 2.2.3	Audit Plan
Item No. 2.2.1	Naming Committee Minutes Part B 17.09.2025
Item No. 2.4.1	Vice-Chancellor’s Review and Executive Remuneration Committee Minutes 14.08.2025 (Māori position)
Item No. 2.5.1	Honours Committee – Minutes 08.10.2025
Item No. 3.	Correspondence

Reason for passing this resolution in relation to each matter:

The protection of the interests mentioned below.

Grounds under section 48(1) for the passing of this resolution:

Those in Section 9 of the Official Information Act 1982 namely:

- i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations;
- ii) To enable the University to carry on without prejudice or disadvantage negotiations; and
- iii) To prevent the disclosure or use of Official Information for improper gain or advantage.

AND THAT Tim Bluet, Professor Sarah Young; Andrew Phipps, Cameron Thomas, Helen Cattanach, Brendan Tonkin, Jeremy Greenbrook-Held, Anthony Brandon, and Wendy Verschaeren be permitted to remain for this part of the meeting, after the public had been excluded, because of their knowledge of, or need to be briefed about, the matters to be discussed. This knowledge, which would be of assistance in relation to the matters to be discussed, was relevant to those matters because they relate to aspects of the administration of The University of Auckland for which those persons were responsible.

The meeting closed at 6.05pm

The meeting went into Public Excluded session at 5.45pm

Approved as a true and correct record.

Cecilia Tarrant, Chancellor

Date

Vice-Chancellor's Report to Council | 10 December 2025

General

External, Policy and Government Update

The Government has a sharp focus on sectors that can deliver a fast return to the economy, these include international education and tourism. Recently Education Minister Erica Stanford and Universities Minister Dr Shane Reti attended the China Annual Conference and Expo for International Education (CACIE) in Beijing. The University was represented at this conference by Deputy Vice-Chancellor (Education), Professor Sarah Young, and Deputy Vice-Chancellor (Strategic Engagement), Dr Erik Lithander. At the same time Vice-Chancellor joined a US Business Council delegation to Washington. UNZ VC's recently attended a meeting with Min Stanford regarding the future IE settings and opportunities for collaboration across the sector.

The Government announced a new national intellectual property policy. The aim is to give New Zealand researchers more control over their inventions and greater opportunities to turn world-class ideas into commercial success. This aligns with the University of Auckland's current approach.

Negotiations between the Council of Australasian University Librarians (CAUL) and academic publisher Elsevier have been paused due to an inability to reach an agreement. This means likely disruptions for both read and publish access to Elsevier's academic journals in 2026. Contingency planning relevant to University of Auckland subscriptions is currently underway as we assess the impact of this scenario and identify the best options for alternative access over this period (e.g., open access, scholarly sharing, and interloan).

Internal Update

Senate approved a draft Freedom of Expression statement on 17 November. Council will receive advice and a feedback summary on 10 December when a final statement will be considered. Changes to the Education and Training Act 2020 require all university councils to adopt a statement on freedom of expression.

The University and the AUSA reached a milestone agreement in November with a new lease and Service Level Agreement to replace existing arrangements, which had been in place for 15 years.

New Chief Operating Officer and Registrar, Mark Gregory joined the University on 1 December 2025.

Hiwa has received further acknowledgement at the NZ Architecture Awards. The project team also received both the Best Team Award and the Supreme Excellence Award at the Property People Awards on Friday night.

The 2025 Chancellors dinner was a resounding success, being held, for the first time, in Hiwa and achieving its usual status as the UoA event of the year amongst donors, alumni and partners

1. Education and Student Experience

Overview

There has been very little change in Student enrolments (EFTS) since the last council meeting - enrolments remain around 7% higher than at this time last year and are forecast to finish the year 6% ahead of targets. We are seeing strong increases in enrolments from both Domestic and International students and across most faculties and the LSRIs. All faculties are forecast to meet their overall EFTS budget targets. Actual figures are now exceeding our September forecast round – this is mainly due to enrolments in Foundation Level programmes being significantly higher than anticipated.

Domestic enrolments are 4.4% above year-to-date 2024 levels and are forecast to be 3.8% above our 2025 target. Overall full-fee International EFTS are forecast to grow by around 15% this year, and 600 EFTS above target. International postgraduate enrolments are 32% (706 EFTS) above the same time last year and expected to be around 16% above our budget target. All faculties are benefiting from the increased International postgraduate enrolments.

Māori and Pacific student enrolments have continued to increase relative to 2024: Māori enrolments are up 3.7% (8.5% for school leavers, while Pacific student enrolments are up 6% (15.4% for school leavers).

Disabled learner enrolments are higher (up 12% overall) relative to 2024 across all segments, undergraduate and postgraduate, as well as domestic and international.

2026 Enrolments opened on November 3. There are 8,709 EFTS enrolled in 2026 as at 12 November, compared to 8,233 at the same point last year (up 6%).

Indicators	Last Year	Current Year			
		To Date (12 Nov)		End of Year	
	Actual	Target	Actual	Target	Forecast
Total EFTS	36,603	37,005	39,161	37,025	38,847
Domestic Funded	30,008	30,207	31,351	30,192	31,354
International Full Fee	5,699	5,965	6,565	5,977	6,534
% Postgraduate EFTS	26.9%	27.8%	27.9%	27.8%	28.0%

Note: EFTS information does not include enrolments in the ELA and other sources.

"Forecast" figures are from the September forecast round, which have since been exceeded.

EFTS in priority groups

	2024 (12 Nov)	2025 (12 Nov)	% Change
Total Māori EFTS	2,420	2,510	3.7%
Māori School leavers	447	485	8.5%
Total Pacific EFTS	2,990	3,170	6.0%
Pacific School leavers	559	645	15.4%
Total Postgraduate	9,837	10,912	10.9%
Domestic	7,547	7,933	5.1%
International	2,177	2,884	32.4%

Progress against priorities**Priority 1: Accessible, equitable lifelong higher education opportunities**

We have now completed the exam period, covering 481 courses. All exam activities have proceeded smoothly.

Priority 2: Student-centric learning, co-curricular and extra-curricular cultures

The annual Learning and Teaching Survey of undergraduate and postgraduate taught students gathered 6,835 responses, 19 per cent up from 2024. Its purpose is to understand students' experiences and drive meaningful improvements, with results used by faculties and in the University's Annual Report.

Overall satisfaction with programme quality remains high, with 78 per cent of respondents agreeing or strongly agreeing with the statement. This year, two questions relating to AI were added. Students' overall satisfaction with their courses was marginally lower at 79 per cent, with differences across faculties, programmes and student groups. These will be explored in the annual Academic Quality Review reports prepared by the Academic Quality Office for faculties.

Updated programme regulations are now in place to support the changes to the Waipapa Taumata Rau courses.

The Bachelor of Optometry has undergone an accreditation review and was awarded accreditation for eight years by the Optometry Council of Australia and New Zealand (OCANZ). The programme will remain accredited until December 2033.

A review of the Bachelor of Arts (BA) took place in October 2025. The panel met with Faculty of Arts and Education leadership, staff, students, and external stakeholders. The review affirmed the programme's enduring strengths and identified areas for further development. The review findings will inform ongoing work with an implementation plan to be developed by the end of the year.

Since the endorsement of the AI in Education Action Plan at UEC on 3 June 2025, we have focused on building staff capability to support the two-lane assessment approach. We have provided self-directed resources to staff and opportunities to share good practice through TeachWell Digital. We are now in the process to also increase student capability and clear communication to students on how AI may be used to manage student expectations.

Priority 3: Education that is research-informed, transdisciplinary, relevant and with impact for the world

Two academics have been awarded with Te Whatu Kairangi (the Aotearoa Tertiary Educator Awards). Dr Moeata Keil, Senior Lecturer in Sociology, was awarded the Le Moana Mua Award for Pacific educators who improve teaching practice, resulting in transformational change in Pacific learners. Dr Nasser Giacaman, Senior Lecturer in Computer and Software Engineering, was awarded an individual innovation prize.

Priority 4: Graduates who make the world better tomorrow than it is today

University of Auckland alumnae and staff, Professor Deidre Brown at the Faculty of Engineering and Design and Professor Ngarino Ellis at the Faculty of Arts and Education have won the Apollo Book Awards 2025. They received the award for their book *Toi Te Mana: An Indigenous History of Māori Art*, published by Auckland University Press in collaboration with the University of Chicago Press. The book is a groundbreaking survey of Māori art history.

Priorities 1-4: Curriculum Changes

The Faculty of Science and the Faculty of Medical and Health Sciences, with the support of the Education Office, have prepared several applications to be submitted to the Committee on University Academic Programmes (CUAP) for approval in Round 1 in 2026. These include a new Bachelor of Biomedical Science, a redesigned Bachelor of Health Science with two new majors, and changes to the BSc with the creation of new majors.

The School of Psychology and the Faculty of Science are also preparing a proposal to be submitted to CUAP for a new Bachelor of Psychology.

All of these new programmes are planned to be delivered for the first time in 2027.

2. Research and Innovation

Indicators	Last Year	Current Year			
		To Date (Sept '25)		End of Year	
	Actual	Target	Actual	Target	Forecast
Research revenue (\$M)	281.0	238.3	215.2	284.8	263.1

Note: The revenue includes University of Auckland revenue only

Overview

Details of the previously announced Government reforms to the Science, Innovation and Technology (SIT) and tertiary education systems have been further examined. A new central body, Research Funding New Zealand (RFNZ), will make most funding decisions, consolidating the roles of existing entities such as MBIE's Science Board and the Marsden Fund Council, and eventually aligning with the Health Research Council. The Prime Minister's Science, Innovation and Technology Advisory Council will set overarching priorities, which will inform a Science Investment Plan and pillar-specific investment strategies, ensuring closer alignment between government priorities, funding and delivery. The transition will occur progressively over four years, with existing contracts and funds continuing throughout. Key initiatives include developing a national research infrastructure roadmap and a full-cost funding model for public research organisations.

Progress against priorities**Priority 1: World-class research inspired by our place in Aotearoa and the Pacific**

The University Executive Committee (UEC) has endorsed recommendations from the Office of the PVC Māori and Research & Innovation Office review of the Māori Research Ecosystem. While several new professional staff roles are proposed, these will be managed within the existing FTE envelope.

Priority 2: A global powerhouse of innovation, creativity and entrepreneurship

An Innovation & Entrepreneurship Operating Model has been endorsed in principle by the UEC. The operating model will enable stronger coordination across the Centre for Innovation & Entrepreneurship, the NZ Product Accelerator, the Newmarket Innovation Precinct and MedTech-iQ, and will position the University to respond to the government's focus on innovation.

The 2025 Marsden fund awarded University of Auckland researchers 31 grants worth a total of \$24.3m, including \$3m for research exploring the fundamental nature of the universe. The University secured 30 per cent of the 2025 grants.

Priority 5 and Priority 6: Nurturing, recruiting and retaining outstanding research talent AND A research ecosystem characterised by collaboration, agility, simplicity, engagement, and empowerment

The Evolution of Research Services (ERS) programme is underway to reshape the research support ecosystem to remain ahead of national reforms. The programme is designed to ensure internal research support is aligned with the new research funding system structures, including national priority areas.

3. Partnerships and Engagement**Overview**

This year, the University achieved the highest number of high school leaver applications in five years for Māori, Pacific, and all school groups. Alumni and donor events have been held in both New Zealand and around the world.

Priority 2: An ambitious and relevant partner that is globally networked.

At the China Annual Conference & Expo for International Education in Beijing UoA signed MOUs with Wuhan University and Sichuan University, and an addendum to an agreement with Northeastern University at Qinhuangdao, which adds the Master of Artificial Intelligence to the available master's programme options for students.

The University has renewed its dual PhD Agreement with Beijing Institute of Technology. The Faculty of Science has renewed its collaborative articulation agreements in Marine Science, Data Science, and Information Technology with Shanghai Ocean University.

The Faculty of Science, supported by the Faculty of Medical and Health Sciences, successfully applied to the Chinese Ministry of Education for a joint programme in Pharmaceutical Sciences with Wuhan University's Faculty of Medical Sciences.

Priority 3: Deep engagement with diverse Aotearoa and Asia-Pacific communities.

The Pacific Academy (Math and Science tutoring programme) has supported more than 630 Māori and Pacific secondary students this year. Newly secured philanthropic support will enable the programme to scale from three to five locations in 2027. Additional donor support will establish a teacher placement programme, where a secondary educator will spend a six-month placement at UoA .

The University hosted the annual visit from the Fijian Government's Tertiary Loans and Scholarships Service (TSLs), resulting in an expansion in UoA programmes covered by the TSLs. Fiji is planning to grow its cohort in New Zealand in the coming five years.

A new thought leadership event series was launched in October. The first Ignite event, *Turn disruption into opportunity: adapting in the age of AI* attracted 3,799 registrations (24% over target), with an 85% satisfaction rating.

Priority 4: Enduring relationships with prospective students, students, alumni and donors

The University hosted the Ambassador to Sri Lanka as part of discussions to support the Sri Lankan government's scholarship programme, where students will start receiving funding from their government for Semester 1 2026.

Alumni events were held in London, New York and San Francisco from 30 September to 9 October. At the London alumni reception, UK Friends Special Recognition Awards were announced for Alex Kendall and Janice Rymer. The VC visited the McLaren Technology Centre in Woking, where a certified copy of the certificate of Bruce McLaren's posthumous honorary doctorate in Engineering was presented to Chief Technology Officer Christoph Meyer. A lunch launching the Sinfonia Scholarship was hosted by Lady Rosemary Buchanan in London. The VC also hosted a dinner with CIE alumni in London, and the DVCSE hosted Business Case alumni in New York. One-to-one meetings were held with alumni, donors and prospects in each city.

Two events were held at the NZ High Commissioner's Residence in Singapore on 2 and 3 October, to coincide with the Formula 1 car racing series. The purpose was to introduce the University's Bruce McLaren Centre for High-Performance Engineering to a select group of principal and major prospective Singapore-based donors and to build closer relationships with McLaren Automotive and Racing.

The University's 40 Under 40 list was announced in November, featuring top young professionals and creative thinkers who have been recognised for exceptional success within their profession and significant community contributions.

Priority 5: Diverse student body reflecting our communities.

The University welcomed 195 TNE students in Semester 2 2025 from China, India, Malaysia and Vietnam. The Manaaki Scholarship Programme has funded over 150 students to study with us in Semester 1 2026.

Priority 6: Recognised and valued by our communities for the contributions we make towards a more sustainable future for all.

In partnership with Repair Aotearoa, the University hosted a Repair Café event on campus in September. The event attracted over 80 attendees (students and staff), with more than 50 items were repaired by volunteers, diverting waste from landfill.

4. Enabling our People and Culture

Overview

The HR strategic workplace plan for 2025/26 is being developed to extend and evolve the People and Culture contribution to Taumata Teitei, considering the workforce context and milestones achieved to date..

Updating HONO 2: Phase 2 is advancing with a focus on Advanced Compensation, Performance, Talent, and Succession. Following completion of high-level design, we have entered the architect and configuration stage, with the initial build delivered and business requirements being refined for finalisation by 21 November. The initial build, delivery, and business requirements will be finalised by 21 November. Testing resources have been engaged for the test stage in January. This approach supports a collaborative, future-ready workforce and ensures alignment with our strategic priorities.

Progress against priorities:

Priority 1: Live our values and purpose

Leadership Development: The Pūhoro Senior Leaders Programme has now completed six cohorts, with a seventh concluding in November 2025. The ability to hold challenging conversations has been identified as an opportunity for senior leadership, including UEC.

Employee Engagement and Listening: The Kōrero Mai Staff Engagement Survey provided valuable insights into staff priorities and areas for improvement. Action planning is underway at local and university-wide levels, with ongoing communication and engagement sessions ensuring that staff voices are heard and acted upon. Significant progress has been made in addressing specific team matters, with UEC /pan UoA actions scheduled for early December 2025.

Priority 2: Develop a future-ready workforce

Future Academic Workforce: The Future Academic Workforce project, launched in July 2025, introduces structured academic roles and career pathways. A steering committee has defined the scope while working groups comprising academic staff are actively informing this work. The Academic Career pathway options were discussed with VCDD in late October 2025. The steering committee has endorsed a three-career track model – teaching only, research only and a combined teaching and research track.

Researcher Academy: A recent study tour to Russell Group Universities in the UK has informed the establishment of a researcher academy. Recommendations on the scope and phased rollout of these initiatives will be considered in December 2025. This will enhance future joint research bids with partner universities in the UK and Europe.

Priority 5: Aspirational and inclusive leadership

He iti Kahurangi specifies the high-performance practices required of all leaders and will be embedded into 2026 performance management processes.

5. Our Enabling Environment

Overview

Indicators	Last Year	Current Year			
		To Date (Sept '25)		End of Year	
	Actual	Target	Actual	Target	Forecast
Total revenue (\$M)	1,539.7	1,485.1	1,503.3	1,578.5	1,618.5
Revenue achieved as a % of budget	100.9%	100.0%	100.7%	100.0%	102.5%

Progress against priorities:

Strategic Priority 1: Create Mana-enhancing experiences for our communities through effective, efficient, and valued operations and services

- Enabling and developing our staff to improve the effectiveness of operations and services offered:
 - i. *AI capability uplift.* In October, Digital Services and Organisational Development launched the AI Coaching Associates Programme, which Microsoft recognised as New Zealand's largest AI capability uplift. This initiative aims to embed AI into the organisation by developing trusted advisors and champions of ethical, practical AI adoption.
 - ii. *Service and process improvement capability development:* We continue to strengthen service improvement capability across the University through the Service Excellence Advocates (SEA) Community by offering foundation, intermediate and advanced Improvement Practitioner courses with an internationally recognised Green Belt accreditation.
 - iii. *Data/analytical skill development:* All University of Auckland staff have access to a series of dashboards relating to application and enrolment, student success, pastoral care, forecasting, and finance. PIO staff (in partnership with third-party vendors) run periodic training sessions for both beginner and more advanced users. In addition, the office facilitates University-wide Data and Survey Communities of Practice..
- Proactive development and improvement of services and operations to meet the needs of our diverse communities:
 - i. *Academic Head support:* Progress continues on mapping Academic Heads' data and information needs for key processes and developing recommendations to address data gaps. Twenty processes that require Academic Head approval are being reviewed by the University's Business Process Automation team to assess potential improvements.
 - ii. *Expansion of AI-Augmented Student Support Services:* The University continues to extend AI-driven solutions across student support channels. For example, phone services now feature an AI-enabled IVR to identify callers and capture their intent.

- iii. *Personalised communications for future and current students:* Leveraging the power of the Eloqua automation platform, digital communication is increasingly timely, relevant, and tailored to the unique journey of each student. These personalised communications sometimes start more than a year before a future student arrives on campus, with measurable results through improved satisfaction and offer to enrolment rates.

Priority 2: Deliver a distinctive, capable, and flexible people-centred environment that celebrates our place in Aotearoa New Zealand and the Pacific

Delivery of the approved Property Capital Programme:

- *Old Choral Hall:* The renovated building will be opened by the Vice-Chancellor Professor Dawn Freshwater and Minister for Arts, Culture and Heritage on 5 December.
- *B230: Law & Performing Arts:* Detailed Design phase is continuing as is site preparation. The main contractors, Naylor Love are active on site.
- *Carlaw Park Stage 4:* Construction works are now underway. Detailed design is progressing alongside.
- *Grafton Research facility:* Detailed design is underway as are resource consent and procurement planning processes.
- *Fale refurbishment and upgrade:* A business case has been approved, and the project is being established.
- *Wifi upgrade:* AI has been deployed within the University's WiFi network to enable dynamic coverage optimisation and automated load balancing across the vast estate of more than 4000 access points. This is delivering an improved experience for staff and students across all campuses

Estate Planning activities (Property and Digital):

- The AI action plan for the Enabling Environment has been endorsed by the University's Executive Committee and key initiatives now moving to implementation mode.

Priority 3: Actively continue and measure progress towards overall sustainability and net-zero carbon status

A project to improve the socialisation of [progress against targets](#)*, including sustainability and net-zero carbon projects, has been completed. It includes details of more than 30 projects and initiatives, and their status. All are publicly available and can be viewed [here](#).

Emissions source	2025 target	2024 performance
Work-related travel	25% reduction	35.5% reduction
Energy and fuel	25% reduction	10.7% reduction
Waste arising from consumption	25% reduction	46.1% reduction

Preparation work has been completed to review sustainability KPIs (including carbon) and to move towards standardising the sustainability portfolio through ISA5000. This would be a significant milestone for the portfolio, as it could make the university the first in the sector to externally assure its sustainability claims beyond carbon.

Priority 4: Enable long-term operational sustainability and resilience for the University through careful stewardship and planning and by enabling revenue growth

Growth in enrolments this year has lifted revenue and contribution from teaching. The associated volume and activity growth will drive expansion in direct cost categories. Against this, we are balancing pressures developing across the research portfolios through reductions in external funding sources.

Steady progress continues to be delivered through our performance improvement programme in areas relating to professional staffing costs and general operating overheads. However, a portion of the gains is being offset by the need to support strategic priorities such as AI, core infrastructure and services, automation and service improvement.

Overall, the University continues to maintain and forecast a stable financial position that align to a medium to low risk rating under the TEC Financial Monitoring Framework.

Dawn Freshwater
Vice-Chancellor

Appendix One: University Gifts and Pledges [August, September, October 2025]

The following major new gifts and pledges were received by ARD from August to October 2025, totalling \$7,275,916, plus a donation from the Estate of Louise Struthers via the Fatbird Trust:

- A significant donation from the Estate of Louise Stuthers via the Fatbird Trust for glioblastoma research at Medical and Health Sciences
- \$1,260,000 from the Buchanan Charitable Foundation for Vision Bus Aotearoa and for research fellow support in Eye Health Systems, both at Medical and Health Sciences
- \$1,145,611 from the Auckland Medical Research Foundation for the 'Developing a "gene cream" therapy for extreme fragile skin conditions' study at Science, and for the 'Paternal diet and future heart health of the mother and child' study, the 'Evaluating the use of topical sevoflurane' study, the 'Trojan Horse Drugs for Pancreatic Cancer' study, the 'Disrupting Fibrotic Feedback in PMF' study, the 'One vaccine for two diseases?' study and the 'Zinc link in autism' study, all at Medical and Health Sciences
- \$691,989 from the Neurological Foundation of New Zealand for the 'Targeting Brain Border Immune Pathways to Enhance Waste Clearance in Parkinson's Disease' study and the 'Dysfunctional Innate Immunity at the Brain Borders as a Driver of Parkinson's Disease' study, both at Medical and Health Sciences, and for the 'STAMP: School-age Tracking and Assessment with MRI in Preterms' study at the Liggins Institute
- \$688,750 from Graham Matthews for the Matthews Pathway Programmes at Arts and Education
- \$433,847 from the Hudson-Nilon Medical Research Foundation Ltd for a Leo Nilon Huntington's disease postdoctoral fellowship at Medical and Health Sciences
- \$382,451 from the Heart Foundation for the 'Mapping and Ablation of Atrial Amplifier regions in persistent AF patients: A pilot study in two phases' project at ABI
- \$326,797 from the Human Frontier Science Program Organization for the 'Expanding the Chemical Space of Bioactive Modified Nucleotides to Endogenous Metal Ions' study at Science
- \$300,000 from The Tyree Group for Sir William Tyree Scholarships at Engineering and Design
- \$250,000 from the Energy Education Trust of New Zealand for support of the Energy Centre at the Business School
- \$223,881 from The Paradifference Foundation for the 'Targeted radio- and chemosensitisation of SDHB-mutant cancers' study at Science
- \$155,000 from Post Family Trust Holdings Ltd to support the Collin Post Sculpture Award at the Elam School of Fine Arts
- \$130,626 from Cancer Society Auckland Northland for support for the Auckland Cancer Society Research Centre at Medical and Health Sciences
- \$102,000 from The Hearing Research Foundation of New Zealand for the McCarthy Travel Fellowship in Audiology and for hearing research at the Eisdell Moore Centre, both at Medical and Health Sciences
- \$100,000 from Patricia Baskett for the Koha Refugee Award to support students from a refugee background undertaking an undergraduate programme
- \$92,000 from the Margaret And John Kalman Charitable Trust for Kalman Teacher Fellowships at Science
- \$91,695 from the University of Melbourne for the PLATIPUS Sponsorship Agreement at the Liggins Institute
- \$90,000 from an anonymous donor for the Bruce McLaren Academy in the Bruce McLaren Centre for High Performance Engineering
- \$83,220 from The Nature Conservancy Trust for the 'Restorative Aquaculture' study at Science
- \$79,979 from Arthritis New Zealand for the 'R332: From Old to New: Persistence, Discontinuation and Reverse-Transitioning Two Years After the Mandatory Nationwide Adalimumab Biosimilar Change' study at Medical and Health Sciences
- \$60,000 from the Michael and Suzanne Borrin Foundation for the Borrin Foundation Justice Fellowship at Law

- \$59,000 from The Kate Edger Educational Charitable Trust for the Kate Edger Educational Charitable Trust Masters Award and for the Kate Edger Educational Charitable Trust PhD Scholarship
- \$58,381 from the Medical Research Institute of New Zealand for the 'Fibrinogen Early In Sever Trauma Study (FEISTY-II)' study at Medical and Health Sciences
- \$50,000 from the Auckland Medical History Society for activities related to medical history at Medical and Health Sciences
- \$50,000 from Cure Kids for the 'Empowerment, wellbeing, safety and equity for girls in Tonga' study at Medical and Health Sciences
- \$50,000 from The One Billion Trust for The One Billion Impact Scholarship
- \$50,000 from an anonymous donor for Alumni Scholarships
- \$49,548 from the Figment Foundation for the Jim Greatbanks MAGS University of Auckland Engineering Scholarship
- \$48,352 from the International Whaling Commission for the 'Continuation of mark recapture analysis of Southern Hemisphere blue whale photo-ID datasets to estimate regional abundance' study at Science
- \$42,000 from the Maurice and Phyllis Paykel Trust for the Phyllis Paykel Memorial Scholarship in Medicine and Maurice and Phyllis Paykel Trust Research Scholarship, both at Medical and Health Sciences
- \$40,000 from CBRE Limited for the CBRE Property Scholarship at the Business School
- \$35,298 from La Trobe University for the 'miRNA alterations in ME/CFS: Unpacking the role of S6K, viruses and metabolism as described in the Head Agreement' study at the Liggins Institute
- \$30,000 from the Estate of Eric Temple Williams for support for the Auckland Cancer Society Research Centre at Medical and Health Sciences
- \$25,491 from Tonkin + Taylor for the Tonkin & Taylor Scholarship and the Tonkin & Taylor Masters Scholarship in Coastal Engineering

Finance Committee MINUTES | PART A
 19 November 2025
 HYBRID | Council Meeting Room and via Zoom
 8:00 am to 10:00 am



6.1

Present: Rob McDonald (Chair), Cecilia Tarrant, Cathy Quinn, Professor Dawn Freshwater, Gemma Skipper, Professor Julia Tolmie, and Sunisha Dugar In Attendance: Adrienne Cleland, Tim Bluett, Helen Cattanach, Cameron Thomas, Patricia Yap, Brendan Tonkin and Ruwani Dharmawardana		
1. Attendance, Welcome and Apologies	Apologies were received from Julia Pahina, and John Paitai was also not in attendance at this meeting. The Chair warmly welcomed Sunisha Dugar to her first meeting as the student representative on the Finance Committee.	
2. Disclosures of Interest	The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020. No further disclosures were made.	
3. Minutes of Finance Committee of 26.09.2025	Item No 3.1: Minutes, Part A 26.09.2025 Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda. No matters were discussed that needed further attention, as part of the follow-up from the previous meeting.	RESOLVED (Chair Cathy Quinn) that the Minutes, Part A, of the Finance Committee held on 26.09.2025 be taken as read and confirmed.
5. Leave of Absence	The Chair noted that no apologies had been received for the 26 February 2026 meeting and advised members to inform the Committee Secretary in advance if they are unable to attend.	
6. Public Exclusions	The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows: General subject of each matter to be considered: Item No 7.1: Finance Committee Meeting 26 September 2025, Minutes Part B Item No 7.2: Matters Arising from the Minutes, Part B, not elsewhere on the agenda. Item No 8.0: Treasury Management, Compliance and Cash Flow	RESOLVED (Chair Gemma Skipper) that the public be excluded from Part B of this meeting AND THAT Ms Cleland, Mr Bluett, Ms Cattanach, Mr Thomas, Ms Yap, Mr Tonkin and Ms Dharmawardana be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of

	<p>Report</p> <p>Item No 9.0: Budget Report 2026 - 2028</p> <p>Reason for passing this resolution in relation to each matter: The protection of the interests mentioned below.</p> <p>Grounds under section 48(1) for the passing of this resolution: Those in Section 9 of the Official Information Act 1982 namely:</p> <ul style="list-style-type: none"> i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations; and ii) To enable the University to carry on without prejudice or disadvantage negotiations; and iii) To prevent the disclosure or use of Official Information for improper gain or advantage. 	<p>the University of Auckland for which those persons are responsible.</p>
<p>The meeting moved into a Public Excluded session at 08.08am.</p> <p>The meeting closed at 9.45 am.</p> <p>Approved as a true and correct record.</p> <p>Rob McDonald, Chair</p> <p>Date:</p>		

Audit and Risk Committee MINUTES | PART A
 10 November 2025
 HYBRID | Council Meeting Room and via Zoom
 8.00 am to 10.30 am



6.2

Present: Jonathan Mason (Chair), Cecilia Tarrant, Candace Kinser In Attendance: Professor Dawn Freshwater, Adrienne Cleland, Tim Bluett, Rachelle Miller, Brent Penrose, Michelle Yu, Murtaza Ali, Bineeta Nand , Julian Michael, James Harper, Angus Clark, Simon Neale, and Ruwani Dharmawardana		
1. Apologies	None	
2. Disclosures of Interest	The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020. No further disclosures were made.	
3. Minutes of Audit and Risk Committee of 17.09.2025	Item No 3.1: Minutes, Part A 17.09.2025 Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda. No matters were discussed that needed further attention, as part of the follow-up from the previous meeting.	RESOLVED (Chair Candace Kinser) that the Minutes, Part A, of the Audit and Risk Committee held on 17.09.2025 be taken as read and confirmed.
4. Other Matters for Decision or Noting	None	
5. Leave of Absence	No leave of absence was requested for the meeting scheduled 03.03.2026.	
6. Public Exclusions	The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows: General subject of each matter to be considered: Item No 7.1: Audit and Risk Committee Meeting 17 September 2025, Minutes Part B Item No 7.2: Audit and Risk Committee Meeting	RESOLVED (Chair Candace Kinser) that the public be excluded from Part B of this meeting Professor Freshwater, Mrs Cleland, Mr Bluett, Ms Miller, Mr Harper, Mr Penrose, Ms Yu, Mr Ali, Ms Nand , Mr Michael, Mr Clark, Mr Neale, and Ms Dharmawardana be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed.

	<p>17 September 2025, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Pro-Forma Financial Statements</p> <p>Item No 9.0: Audit Plan Year End 2025</p> <p>Item No 10.0: Combined Assurance Report</p> <p>Item No 11.0: Internal Audit Programme Update</p> <p>Item No 12.0: Insurance Renewal Strategy</p> <p>Item No 13.0: 2025 Legislative Change Update</p> <p>Item No 14.0: Tax Plan 2025-2026</p> <p>Item No 15.0: Health, Safety & Wellbeing Programme Update</p> <p>Item No 16.0: CyberSecurity Programme Update</p> <p>Item No 17.0: Enterprise Risk Programme Update</p> <p>Item No 18.0: Audit and Risk Annual Plan</p> <p>Reason for passing this resolution in relation to each matter: The protection of the interests mentioned below.</p> <p>Grounds under section 48(1) for the passing of this resolution: Those in Section 9 of the Official Information Act 1982 namely:</p> <ul style="list-style-type: none"> i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations; and ii) To enable the University to carry on without prejudice or disadvantage negotiations; and iii) To prevent the disclosure or use of Official Information for improper gain or advantage. 	<p>This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of the University of Auckland for which those persons are responsible.</p>
<p>The meeting moved into a Public Excluded session at 08.06 am.</p> <p>The meeting closed at 10.27 am.</p> <p>Approved as a true and correct record.</p> <p>Jonathan Mason, Chair</p> <p>Date:</p>		

Capital Expenditure Committee MINUTES | PART A

4 November 2025

HYBRID | Council Meeting Room and via Zoom

08:00 am to 10:00am



Present: Cecilia Tarrant (Chair), Rob McDonald, Jonathan Mason, and Professor Dawn Freshwater In Attendance: Tim Bluett, Simon Neale, Andrew Phipps, Cameron Thomas and Ruwani Dharmawardana		
1. Apologies	Apology for absence was received from Cathy Quinn.	
2. Disclosures of Interest	The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020. No further disclosures were made.	
3. Minutes of Capital Expenditure Committee of 14.08.2025	Item No 3.1: Minutes, Part A 14.08.2025 Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda. No matters were discussed that needed further attention, as part of the follow-up from the previous meeting.	RESOLVED (Chair Professor Dawn Freshwater) that the Minutes, Part A, of the Capital Expenditure Committee held on 14.08.2025 be taken as read and confirmed.
4. Other Matters for Decision or Noting	None	
5. Leave of Absence	No leave of absence was requested for the meeting scheduled for 5 March 2026.	
6. Public Exclusions	The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows: General subject of each matter to be considered: Item No 7.1: Capital Expenditure Committee 14 August 2025, Minutes Part B Item No 7.2: Capital Expenditure Meeting 14 August 2025 Matters Arising from Minutes, Part B Item No 8.0: B273 & B275 Fale Pasifika Complex	RESOLVED (Chair Rob McDonald) that the public be excluded from Part B of this meeting AND THAT Mr Bluett, Mr Neale, Mr Phipps, Mr Thomas and Ms Dharmawardana be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects

6.3

	<p>Refurbishment</p> <p>Item No 9.0: City Campus Masterplan – Illustrated Presentation (presentation only)</p> <p>Item No 10.0: LTFP Capital Programme Update</p> <p>Item No 11.0: Use of Vice-Chancellor Delegated Authority</p> <p>Item No 12.0: Hono Human Connections Programme Update</p> <p>Reason for passing this resolution in relation to each matter: The protection of the interests mentioned below.</p> <p>Grounds under section 48(1) for the passing of this resolution: Those in Section 9 of the Official Information Act 1982 namely:</p> <ul style="list-style-type: none"> i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations; and ii) To enable the University to carry on without prejudice or disadvantage negotiations; and iii) To prevent the disclosure or use of Official Information for improper gain or advantage. 	<p>of the administration of the University of Auckland for which those persons are responsible.</p>
<p>The meeting moved into a Public Excluded session at 08:05am.</p> <p>The meeting closed at 10:20 am.</p> <p>Approved as a true and correct record.</p> <p>Cecilia Tarrant, Chair</p> <p>Date:</p>		



University Equity Leadership Committee Report to Council December 2025

6.4

1. University Equity Leadership Committee (UELC) meetings

Note: Since the mid-year report, the University Equity Leadership Committee (UELC) has continued to advance the University's diversity, equity, and inclusion (DEI) agenda. This report summarises key developments, policy endorsements, and strategic initiatives undertaken in the second half of 2025. The next UELC meeting will be on 5 March 2026.

1.1 Policy and Strategy endorsements

The UELC provided input on and endorsed several foundational documents:

The revised [Te Ara Tautika, Equity Policy](#) minimises ambiguity by moving key principles and expectations into the Equity Statement. The definition of intersectionality has also been updated to align with Ala o le Moana Pacific Strategy.

The [Equity Statement](#) acknowledges our unique location, history, and important Māori values, complements Te Ara Tautika, the Equity Policy and provides more detail on our diversity, equity, and inclusion goals and how we implement Te Ara Tautika.

The University's first [DEI Strategy and Plan 2025-2028](#) led by the Office of Pro Vice-Chancellor, Equity (OPVCE) is closely aligned with Kawea Ake (Indigenising Initiatives 2024-2029) and Ala o le Moana Pacific Strategy, ensuring an integrated approach to diversity, equity, and inclusion across the University. It is designed to enhance the experiences of all students and staff across a range of backgrounds and identities. It also outlines our commitment to building and making visible a safe, equitable, and inclusive environment where everyone feels a strong sense of belonging.

The University's first [Reasonable Accommodations for Disability Policy](#) and [Procedures](#) were finalised following a broad two year consultation that included:

- Current university practices where reasonable accommodations are being provided
- Desktop research of national and international best practices
- Informal engagement with key interested parties including the Disability Action Plan Reference Group, Disabled Staff Network, and the Auckland University Disabled Students Association
- Feedback from formal consultation, and
- Collaboration with staff who are involved with decisions and implementation of reasonable accommodations.

UELC have endorsed these and with the Vice-Chancellor's approval will be published in November. Guidelines are now being developed, and implementation and communications plans are underway.

1.2 Key Equity Networks and Strategic Projects

The PVC Equity provides UELC with key highlights discussed at the Equity Action Network (EAN) meetings and the Disability Action Plan Reference Group (DAPRG), both of which report to UELC.

The **Equity Action Network (EAN)** is beginning to explore international funding opportunities to advance diversity, equity, and inclusion initiatives. The Associate Dean Equity, Arts and Education is engaged in a racial equity project with international partners using collaborative seed funding available through [Universitas 21](#) (U21), a network of 33 partner universities. These efforts strengthen the University's participation in global DEI projects and foster the exchange of best practices.

The Associate Deans Equity have worked with Dr Patten in the Office of PVC Equity to identify how AD Equity roles are recognised in their faculties, LSRI and Service Divisions including budget allocations, autonomy and strategic initiative funding. The PVC Equity discussed with the Deans and Directors a need for greater harmonisation of these roles. There was general agreement that a minimum budget allocation per person would be useful, along with greater autonomy in budget decisions by ADs Equity.

The **Disability Action Plan Reference Group** continues to play a vital role in representing staff and students with disabilities, and in critiquing the Disability Action Plan deliverables and milestone progress. Members are preparing feedback to guide Property Services on the purpose and requirements for rest spaces for staff and students, supporting better understanding of their use and distribution across campuses. The DAPRG is also developing resources to improve student access to information and support, particularly during exam periods focusing on 'What does good look like'.

Expressions of interest in joining the DAPRG were received from 24 students and staff with lived experience or expertise. Six joined the Group in November, and will continue this group's strong engagement with DAP workstream owners for the upcoming term.

Gender Action Plan (GAP) Group has been established to support the development of a comprehensive Gender Equity Strategy and Plan that identifies effective deliverables and initiatives to address gender, Māori, Pacific and ethnic pay gaps at Waipapa Taumata Rau. There are 26 members that ensure diverse representation from academic and professional staff, students, staff networks and the TEU.

Forty-seven actions have been identified by HR DEI and OPVCE across four areas: Fair recruitment; Career progression; Accessible resources and learning opportunities; and Evaluation, transparency and continuous improvement. The GAP Group have provided priorities and timings on these that will inform the development by HRLT of the Gender Equity Strategy and Plan. This will be released with the 2025 Gender Pay Gap Report in March 2026.

Recent interfaith staff and student listening sessions facilitated by Dr Kat Eghdamian, an internationally recognised expert in this field have informed recommendations for establishing a **Religion and Belief Reference Group**. UELC have reviewed the narrative summaries and recommendations

ahead of calls for expressions of interest from participants of these sessions and a first meeting proposed for Semester 1, 2026. Jeremy Hema, Poutiaki Rangahau Māori, Māori Research and Data Sovereignty Steward and Professor Stinear will co-facilitate the inaugural mahi of this Group.

1.3 UELC member updates

UELC members reported DEI related progress across their areas including commendations for a report by Professor Catherine Watson, Associate Dean Equity, Engineering and Design that has researched barriers for women in engineering. Improvements to campus accessibility, expanded outreach to rural students in Taranaki, advocacy for financial accessibility, and inclusive leadership recruitment were also identified.

6.4

1.4 University Plans and Reporting

The [Disability Action Plan Progress Update 2025-2028](#) was submitted to TEC along with the Learner Success Plan and Investment Plan. The DAP has now been approved by TEC and is on the University's website. Overall, most initial DAP deliverables are complete, established, or on track (87%) and we are progressing against our primary success indicators.

Kōrero Mai, the Staff Engagement Survey offered important insights into staff experiences of inclusion and belonging. There are disparities in Engagement, and Inclusion and Belonging, and Work and Life Blend, that relate to gender diversity, disability, and the intersection of gender and carer responsibilities. Key findings from the Kōrero Mai: DEI Insights report have been presented by the PVC Equity at an all-staff webinar, and a full report will be released internally by HR.

The Committee acknowledged the contributions of outgoing student representatives and the Deputy Chair thanked all members for their commitment to advancing equity and inclusion at the University.

2.0 Recommendation:

1. That Council **note** receipt of the University Equity Leadership Committee 2025 year-end report.



Internal Memorandum

6.5

Date: 01.12.2025
To: Council
From: Chancellor
Subject: Update of the Naming Policy and newly developed Naming Procedures

The Current Naming Policy mentioned the following under item 10:

10. The University Naming Committee will be responsible for developing and publishing its own procedures and processes including the issuing of any guidelines subject to the same being consistent with this policy and any direction or alteration of this policy by the Council.

Subsequently, The University developed its Naming Procedures and, at the same time, updated the Naming Policy

Recommendation: That Council approve the updated Naming Policy and the newly created Procedures

Naming Policy – with Recommended Amendments

Application

6.5

This policy applies to the University as an institution through all its faculties, service divisions, institutes, centres, schools and departments whether academic or administrative and, where appropriate, to donors and sponsors.

Purpose

To regulate and provide a framework and direction for the recognition of persons or bodies where **facilities**, or parts of facilities, academic positions, fellowships, collections, programmes, grants or any other things owned or operated by the University are named partly or wholly for such a person or body.

This policy also has the purpose of evidencing and confirming the delegation as may be necessary in respect of any **naming** to the University Naming Committee as constituted in this policy under [S285 of the Education and Training Act 2020](#).

Introduction

The University has rights and powers enabling it to recognise persons or bodies who or which have rendered it extraordinary **or meritorious** support or service.

Naming is a process in which the University recognises persons or bodies who or which have rendered it extraordinary **or meritorious** support or service by naming facilities, or parts of facilities, academic positions, fellowships, collections, programmes, grants or any other things owned or operated by the University partly or wholly for such a person or body.

The action of naming is expressly recognised in this policy by the **Council** as being a function that may be exercised conveniently and without disadvantage to, and in fact is an enhancement of, its characteristic functions pursuant to the Education and Training Act 2020.

Policy

1. Council confirms the delegations set out in this policy reserving at all times the right to amend, qualify and determine such delegations.

2. The University Naming Committee will report on the exercise of its delegated functions to the Council as set out in the Naming Procedures [\[hyperlink\]](#).

3. Naming will be the responsibility of the University Naming Committee, which is a Committee of Council.

4. All naming may be granted or sanctioned and subject to such conditions as may be required, only by the University Naming Committee which is delegated that function by Council.

5. The University Naming Committee will have the following membership:

- The Chancellor ex officio
- The Pro-Chancellor ex officio
- The Vice-Chancellor ex officio
- The Deputy Vice-Chancellor (Education) ex officio
- Director of Alumni Relations and Development ex officio
- The Māori member of Council appointed by Council
- One other member of Council appointed by Council.

The chairperson of the University Naming Committee is the Chancellor and the deputy chairperson is the Pro-Chancellor.

6. The University Naming Committee may only grant or approve naming in recognition of extraordinary or meritorious support or service to the University.

7. The University Naming Committee will not grant or approve a naming that is:

- Inconsistent with the maintenance of the highest ethical standards and the need to permit public scrutiny
- Likely to adversely affect the University's autonomy and academic freedom
- Inconsistent with the University's strategic plan and academic and research priorities
- Subject to obligations which would be inconsistent with University statutes, policies and regulations
- Likely to incur significant undisclosed or unplanned costs and liabilities for the University

- Made in consideration of a GST supply by the University whether in form or substance unless all GST and taxation issues have been properly disposed of

8.. The University Naming Committee may, if it considers it expedient to do so, establish criteria for naming for extraordinary or meritorious service and report such criteria to Council for the approval of Council.

6.5

9. The University Naming Committee will, in each naming, address the term of a naming and may stipulate limitations on existing or future namings as to parts of facilities or things named.

10. The University Naming Committee will be responsible for developing and publishing its own procedures and processes including the issuing of any guidelines subject to the same being consistent with this policy and any direction or alteration of this policy by the Council.

11. Sponsorship naming is not included in the delegations to, and responsibilities of, the University Naming Committee. The naming of sponsorships is delegated by Council to the Vice-Chancellor pursuant to the Philanthropic Gift Acceptance Policy

Definitions

The following definitions apply to this document:

Council is the University's governing body.

Facility(ies) means and includes a physical location or building, a teaching or research site or location, a teaching or research entity of any kind, airspace, ground space, and rights and things of any nature or description owned, operated or administered by the University.

Naming is a process in which the University recognises persons or bodies who or which have rendered it extraordinary or meritorious support or service by naming facilities, or parts of facilities, academic positions, fellowships, collections, programmes, grants or any other things owned or operated by the University partly or wholly for such a person or body.

Sponsorship means the payment of money or anything having a monetary value or the provision of services, rights or any type of property including goods and real estate, to the University where the payer or provider receives a consideration for such payment or provision in the form of advertising, logo

use, publicity, naming or such similar rights but is not intended to mean or include normal day to day commercial transactions in which the University, in the ordinary course of business, purchases or otherwise acquires goods and services from another party.

University means the University of Auckland and includes all subsidiaries.

6.5

Key relevant documents

Include the following ~~ngng~~

- [Naming Procedures \[hyperlink\]](#)
- [Crown Entities Act 2014](#) [Chief Operating Officer](#)
- [Education and Training Act 2020](#)
- [Goods and Services Tax Act 1985](#)
- [Philanthropic Gift Acceptance Policy](#)

Document management and control

Content manager: [Director Governance, Risk and CLO](#)

Owned by: [Chief Operating Officer](#)

Approved by: Council

Date approved: 14 June 2021

[Date reviewed xx/xx/25](#)

Review date: [xx/xx/30](#)

Naming Procedures Draft 30/10/25

Application

These procedures apply to the **University** as an institution through all its faculties, service divisions, institutes, centres, schools and departments whether academic or administrative and, where appropriate, to donors and sponsors.

Purpose

These procedures support the [Naming Policy](#) by specifying the steps to be undertaken in the naming process.

Procedures

1. A naming proposal and recommendation shall be made confidentially in writing to the Vice-Chancellor by the manager at Level Two of the **University Organisational Structure** in whose area the naming recommendation falls (**proposer**).
2. Each naming proposal shall be accompanied by:
 - a statement from the proposer outlining in sufficient detail the support or service of such person or body to the University
 - an endorsement or other comment on the naming proposal from the **member of the Senior Leadership Team** in whose area the naming recommendation falls.
3. The Vice-Chancellor shall refer each naming proposal that they consider meets the requirements specified in the [Naming Policy](#) to the **Chair** of the **Naming Committee** through the secretary of that committee. If the Chair considers that the proposal has sufficient information to enable the Naming Committee to make a decision, the Chair will request that the secretary add the proposal to the agenda of the next meeting of the Naming Committee.
4. The Naming Committee is to meet to discuss naming proposals at two set meeting dates per year. Extra meetings of the Naming Committee may be called if there is a proposal that cannot wait until the next scheduled meeting.
5. Meetings of the Naming Committee can be held in person, online or in a combination of both
6. The proposer and/or other senior management members may be invited by either the Chair or the Vice-Chancellor to attend a Naming Committee meeting for a particular item.
7. Members of the Naming Committee must declare any real or perceived conflicts of interest in line with the requirements of the University's [Conflicts of Interest Policy](#).
8. No decisions may be made at a Naming Committee meeting unless a majority of the Naming Committee members then holding office are present.
9. The Chair must preside at all Naming Committee meetings at which the Chair is present. If the Chair is not present at a meeting the **Deputy Chair** must preside.
10. The decision of the Naming Committee is to be communicated in writing to the proposer after the relevant meeting of the Naming Committee.
11. The minutes of each Naming Committee meeting together with a report regarding the decisions made at the meeting is to be submitted to the subsequent **Council** meeting for noting.

Definitions

The following definitions apply to this document:

Chair is the chairperson of the Naming Committee identified in the Naming Policy.

Council is the University's governing body.

Deputy Chair is the deputy chairperson of the Naming Committee identified in the Naming Policy.

Naming Committee is a committee of Council established by Council through the Naming Policy that is responsible for the namings.

Facility(ies) means and includes a physical location or building, a teaching or research site or location, a teaching or research entity of any kind, airspace, ground space, and rights and things of any nature or description owned, operated or administered by the University.

Member of the Senior Leadership Team (SLT) includes the Deans of Faculties and the Directors of the Large Scale Research Institutes. The full membership is set out in [the SLT Terms of Reference](#).

Naming is a process in which the University recognises persons or bodies who or which have rendered it extraordinary support or service by naming facilities, or parts of facilities, academic positions, fellowships, collections, programmes, grants or any other things owned or operated by the University partly or wholly for such a person or body.

University means the University of Auckland and includes all subsidiaries.

University Organisational Structure is the official view of the University's organisational structure that encompasses all revenue, expenditure and staff members and is maintained by the Planning and Information Office.

Key relevant documents

- [Education and Training Act 2020](#)
- [Naming Policy](#)

Document management and control

Content manager: [Director Governance, Risk and CLO](#)

Owned by: [Chief Operating Officer](#)

Approved by: Council

Date approved: ...

Review date: ...



Internal Memorandum

6.6

Date: 3/12/2025
 To: Council
 From: Rūnanga
 Subject: Feedback on the Freedom of Expression Statement

Rūnanga noted initial Council endorsement of statement to go out for consultation with the University community, subsequent changes based on consultation by the panel and endorsement from Senate on November 17.

Adrienne Cleland and Virginia Hunter presented the Statement, its context and production and responded to questions by Rūnanga members.

The Rūnanga unanimously agreed the following feedback be communicated to the Council:

- 1) Rūnanga questioned why the FoE statement limits the University's obligation to Te Tiriti, to the section of the 2020 Education and Training Act, that specifically pertains to Universities (that universities will 'acknowledge the principles of Te Tiriti o Waitangi').

The purpose of the 2020 Education and Training is to establish and regulate an education system that 'honours te Tiriti o Waitangi and supports Māori – Crown relationships'. The FoE statement could therefore embrace a broader University obligation to Te Tiriti that still falls within legislative frameworks.

Members also questioned why, in general terms, the University limits its obligations to Te Tiriti to legislative provisions and thereby closes down, rather than leaves open to development, its engagement with Te Tiriti.

It is acknowledged that a fullsome conversation about the University's commitments to Te Tiriti has yet to take place.

Two suggested amendments to the Statement are :

- a)...., and University obligations related to Te Tiriti o Waitangi, *including*, as laid out in the Education and Training Act. This indicates a University commitment broader than the Act 2020.

b)...., and ~~University~~ obligations related to *Te Tiriti o Waitangi*, as laid out in the *Education and Training Act 2020*. Removing the word University here provides for a broader embrace of Te Tiriti commitments contained within the Act as a whole.

- 2) Rūnanga questioned the impact of the statement on Māori students and their sense of wellbeing and belonging at the University. Though the Statement is a requirement to reinforce lawful speech, its intent is to remove any institutional mitigations, developed overtime, that have sought to reduce the negative effects of such freedoms on vulnerable groups in our community. The Rūnanga draw to the Council's attention other parts of the 2020 Act and our own university commitments that relate to fostering positive environments for Māori (and all other) students.



Internal Memorandum

6.6

Date: 3/12/2025

To: Council

From: Rūnanga

Subject: Office of the Pro Vice-Chancellor Māori Cross Portfolio Work Programme 2025

Waipapa Tāngata Rau (People and Culture)

Shared priority development with HRLT and progress towards Waipapa Tāngata Rau | The Māori staffing plan:

- Visibility in portfolio function plans
- Continuous improvement of Waipapa Raukura Rau (cohort 2) & future funding secured
- Significant contributions to Leadership: He iti Kahurangi; Kōkiri (currently in development) and Pūhoro.
- Māori and Pacific Leadership programme development: Wānanga X, Crucial Conversations.
- Waipapa Tāngata Rau visible in function plans
- Strategic leadership and ongoing development of Te Taumata Ngaio (including new offerings and teaching)

Waipapa Manawa Whenua (Education and Student Experience)

Despite a disrupted year in leadership and WTR decisions have led and contributed significantly to the following:

- CFT: Mātauranga Māori pathways - faculty based groups implementing recommendations of Col including resources and a Canvas Course for academic writing in te reo Māori.
- CFT: Te Reo Māori Pronunciation Assessment and Support Resources – MBI Smart Ideas Grant
- Learner Success Plan
- Whakamana Tangata Refresh
- Parity gap reducing for Māori students
- Structural developments in Arts and Education – Māori academic and Professional Staff leadership and student success model

- Developed and launched a new-online working professionals course on Te Tiriti (Alison Jones and Te Kawehau Hoskins)

Waipapa Herenga Waka (Strategic Partnership & Engagement)

- Kawea Ake, Toitū Waipapa and Kōtuitanga web design and presence achieved
- Tai Tokerau strategic case and academic delivery plan completed
- Māori alumni developments (Newsletter and Alumni plan)
- Waipapa Taumata Rau – Melbourne University AFSE MoU finalised
- AFSE Module 5 delivery in Aotearoa – agreement making and relationalities for foundation year delivery.
- APRU Indigenous Knowledges Network (participation and leadership in research, mentoring & leadership, convening streams).

Waipapa Maunga Whakahī (Research and Innovation)

- Phase two development of He Korowai Mātauranga (online research resources) completed
- Māori research Ecosystem review complete – UEC endorsed
- Māori research policy and guidelines - endorsed by the Research Committee, going to UEC Dec 2nd
- Māori data sovereignty education and guidelines
- Te Pae Huinga Manu – inaugural Māori research excellence recognition and showcase
- Development of the Indigenous SRA proposal

Waipapa Ki Uta (Enabling Environment)

- Te Reo Māori Language plan refresh (goes to UEC Dec 2)
- Te Kūaha updates
- Kawea Ake dashboard development

Waipapa Tātai Hono (Pacific relations)

- Strategic relationship developments OPVCP and OPVCM
- TOKTALK 02/04/2026 - an OPVCP and OPVCM academic symposium
- Contributed to Pacific Strategy development - governance and working groups
- Collaborative developments for the Tuākana team, spaces and ways of working

7.1

THE UNIVERSITY OF AUCKLAND

MATERIAL FOR COUNCIL FROM the MEETING OF SENATE 15.09.2025

PART A:

7.1

1. RECOMMENDATIONS FROM SENATE REQUIRING TO BE CONSIDERED/RECEIVED BY COUNCIL

- a) Review of the School of Psychology
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of the School of Psychology
- b) Review of the School of Optometry and Vision Science
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of the School of Optometry and Vision Science
- c) Review of Applied Linguistics & Language Teaching, Linguistics and Academic English Studies – Three Year-on Progress Report
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of Applied Linguistics & Language Teaching, Linguistics and Academic English Studies – Three Year-on Progress Report
- d) Review of the Department of Civil and Environmental Engineering – Year-on Progress Report
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of the Department of Civil and Environmental Engineering – Year-on Progress Report
- e) Review of Science, Technology and Mathematics (STEM) Education - Two Year-on Progress Report
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of Science, Technology and Mathematics (STEM) Education - Two Year-on Progress Report
- f) Review of Transitions to University Offerings for Students New to Tertiary Education - Year-on Progress Report
Senate 17.11.2025 RECOMMENDS to Council that it receive the Review of Transitions to University Offerings for Students New to Tertiary Education - Year-on Progress Report

2. RECOMMENDATIONS FROM SENATE REQUIRING COUNCIL CONSIDERATION/APPROVAL

- 1. PROPOSED UNIVERSITY STATEMENT ON FREEDOM OF EXPRESSION – (this is to be considered as a separate item on the Council agenda – item 9.2)

The Vice-Chancellor introduced this item and reminded Senate the work on this matter had been going on for several years, initially through a dedicated Working Group, led by Professor Hunter and subsequently by an Advisory Group, led by Mrs Cleland, including broad consultation. The need for a formal statement was prompted by a Government request, together with a requirement for a survey, a complaints process and annual reporting. The University had since collaborated with sector peers to ensure alignment across institutions with respect to those latter matters. A report was presented to the Senate summarising the extensive consultation undertaken for the draft Statement, which included faculty meetings, and online submissions. Senate was informed that feedback had been considered on a sentence-by-sentence basis, with particular attention given to both the content of the statement and the context of its implementation. It was noted that many submissions raised questions regarding the definitions of key terms and the distinction between lawful and unlawful speech. In response, it was proposed that, alongside the publication of the statement, definitions and clarifications would be provided, and scenarios illustrating the University's response to various circumstances would be developed. Senate was asked to recommend that Council adopt the University's statement on FoE and to request that management publish accompanying definitions and clarifications.

During the discussion, Senate acknowledged the contributions of student representatives and emphasised the importance of student engagement in the process.

Concerns were raised regarding the effectiveness of a complaints process on its own as a means of protecting and enhancing free speech. The need for proactive measures, such as workshops and case studies, would be important to promote freedom of expression and to assess the extent of self-censorship within the University community. It was noted that an annual survey of staff and students would be conducted to gauge understanding and perceptions of FoE and AF.

Further discussion addressed the need for further clarity with respect to terms such as "support," "actively foster," and "unduly disrupted." Senate was informed that context would be critical in interpreting these terms and that specific scenarios would be published to provide guidance. The importance of considering the statement within the broader context of the University's values, Code of Conduct, and related policies was emphasised.

Questions were raised regarding the University's role as a critic and conscience of society and whether this could be sustained alongside the principle of institutional neutrality. It was clarified that the statement required the University, as an institution, to refrain from taking positions on matters outside its statutory functions, roles and duties but to also encourage and foster debate among individuals and groups within the University.

Senate discussed the inclusion of other relevant legislation, particularly the **Bill of Rights Act 1990**, in the supporting documentation. It was agreed that reference to this legislation would be added to part (ii) of the motion.

Concerns regarding harmful speech and the mechanisms for addressing it were discussed. Senate was informed that further work would be undertaken to define harmful speech in the University context and to clarify the duty of care owed to staff and students. It was acknowledged that the ability to engage in constructive debate was fundamental to the University's mission and to the functioning of democracy.

Senate recognised the complexities involved in ensuring that all members of the University community, including marginalised groups, were able to participate fully and safely in debate. It was noted that the statement would form part of a broader framework of policies and procedures, and that each situation would be considered in context.

Senate asked to correct the second sentence on the second paragraph of (i), so that it matches the first sentence; to read "functions **or** duties".

The motion (Vice-Chancellor/ Professor Young) was then put.

Resolved (Vice-Chancellor/Professor Young) that Senate **recommends:**

(i) that **Council adopt** the following University Statement on Freedom of Expression:

Waipapa Taumata Rau, University of Auckland fulfils a role as a critic and conscience of society through the protection and promotion of freedom of expression and academic freedom. Our university is a place where diverse cultures, identities, ethnicities and value systems contribute to research, teaching, and related activities. Respect for everyone's right to express their views and a commitment to civil discourse are critical to our function. The University actively fosters and supports lawful and constructive debate by its staff and students on any topic, including with the participation of external speakers invited by a staff member, or a recognised student association or student club. The University may reasonably regulate the time, place, and manner of expression so that the ordinary activities of the University are not unduly disrupted.

The University, as an institution, will not take public positions on matters that do not directly concern university roles, functions or duties. Official University spokespeople may make public statements on matters directly related to university roles, functions **or** duties, including the wellbeing and safety of staff and students, financial and resource management, sustainability, equity, and university obligations related to Te Tiriti o Waitangi as laid out in the Education and Training Act 2020. Institutional neutrality is not a retreat from important conversations, but a commitment to creating an environment where such conversations can freely take place.

(ii) **Request** management to publish, alongside the adopted statement, (a) definitions for the terms: freedom of expression; academic freedom; duty regarding the wellbeing of staff and students; recognised students' associations and student clubs; university roles, functions, and duties; and official university spokespeople and (b) clarification of "lawful" speech in part by providing links to the Human Rights Act 1993, **the Bill of Rights Act 1990**, the Harmful Digital Communications Act 2015, and the Summary Offences Act 1981

7.1

ACADEMIC MATTERS AND REGULATIONS

2. REGULATION AMENDMENTS

Senate, 17.11.2025 RECOMMENDS that Council approve the following Regulation Amendments:

a) Regulation Amendment 2025-913: – Academic and General Statutes and Regulations – Undergraduate Waipapa Taumata Rau Course Requirement regulations

To rescind the Undergraduate Waipapa Taumata Rau Course Requirement Regulations.

b) Regulation Amendment 2025-914: Academic Statutes and Regulations - Enrolment and Programme Regulations

To amend the regulations pertaining to:

1. The use of a nominee in decision making in the Enrolment and Programme Regulations.
2. Late deletions, including amending the deadline for applications, amending the deadline for appeals and adding provision for the refund of some fees.
3. Academic Standing, to include provision for some discretion around students being discontinued if they are readmitted and fail to meet conditions.

c) Regulation Amendment 2025-916: Academic Statutes and Regulations – General Education Regulations and Schedules

1. To rename the General Education faculty schedules.

2. To add Waipapa Taumata Rau courses to relevant programme schedules.
3. To introduce new clauses relating to Waipapa Taumata Rau courses.

d) Regulation Amendment 2025-047: General Education Regulations – Faculty of Arts and Education
To remove Regulation 2d and amend Regulation 2e

3. 2026 Programme Limitations update -memorandum October 2025

Senate, 17.11.2025 RECOMMENDS that Council approve the 2026 Programme Limitations update

7.1

PART B: ITEMS FROM SENATE FOR NOTING BY COUNCIL

1. Assessment of Courses Procedures

Senate, 17.11.2025 RECOMMENDS that the Vice-Chancellor approve the Assessment of Courses Procedures

2. Changes in the Board of Graduate Studies – Memorandum 17.11.2025 from JR Rowland, Pro Vice-Chancellor Global and Graduate Research – including attachments A-E – (this is to be considered as a separate item on the Council agenda – item 9.4)

It was reported that the Board of Graduate Studies had endorsed the establishment of a new subcommittee, which would subsume responsibilities of the Board of Graduate Studies and operate as a subcommittee of Research Committee.

Senate was informed that the new committee would report through Research Committee to Senate, rather than directly to Senate.

This adjustment was intended to ensure that the Deputy Vice Chancellor (Research) would act as the champion for the doctoral portfolio, thereby mitigating the risk of a siloed approach and enhancing support across all levels of the University.

Council would be asked to revoke its delegations to the Board of Graduate Studies, effective 31st December 2025, and to replace them with delegations to the Vice Chancellor (or delegate).

It was further noted that, following this change, the Board of Graduate Studies would cease to be a Committee of Senate and would become a Subcommittee of Research Committee.

Senate was informed that the proposal had been subject to extensive debate over the past year and had received unanimous support. The intention of the change was to ensure appropriate championship and governance of the doctoral portfolio, and to foster better synergies with the education portfolio, including scholarships.

In the following discussion, it was confirmed that doctoral supervision fell under teaching in relation to academic standards; the current change did not pertain to academic standards considerations but rather to the governance of the doctoral portfolio.

Clarification was requested regarding the inclusion of Research Masters, and it was noted that, at present, the requested change did not encompass these programmes, but that future consideration would be given to this matter.

Senate, 17.11.2025 NOTES and ENDORSES the intention to recommend to Council that Council revoke its delegations to BoGS effective 31 December 2025 to be replaced by sub delegations to the Pro Vice-Chancellor Global and Graduate Research, Associate Pro Vice-Chancellor Graduate Research, Associate Deans/Directors (Postgraduate Research) and other roles as required.

PART C: MATTERS RECEIVED AND APPROVED UNDER DELEGATED AUTHORITY

- 1. Deletion**
Senate, 17.11.2025 advises Council that the following Deletion be approved for submission to CUAP:

Science

<u>2025-727</u>	Micro Credential	Deletes MC001 Cloud Computing for Business Professionals.
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- 2. Research Committee’s terms of Reference updated**
Senate, 17.11.2025 advises Council that it approved the updated Terms of Reference of Research Committee



Internal Memorandum

Date: 1 December 2025
 To: Council
 From: Vice-Chancellor
 Prepared by: Adrienne Cleland, Chair of the VC's Advisory Group on Freedom of Expression
 Subject: Draft Freedom of Expression Statement

Recommendation that Council

- **ADOPT** the following University Statement on Freedom of Expression:

Waipapa Taumata Rau, University of Auckland fulfils a role as a critic and conscience of society through the protection and promotion of freedom of expression and academic freedom. Our university is a place where diverse cultures, identities, ethnicities and value systems contribute to research, teaching, and related activities. Respect for everyone's right to express their views and a commitment to civil discourse are critical to our function. The University actively fosters and supports lawful and constructive debate by its staff and students on any topic, including with the participation of external speakers invited by a staff member, or a recognised student association or student club. The University may reasonably regulate the time, place, and manner of expression so that the ordinary activities of the University are not unduly disrupted.

The University, as an institution, will not take public positions on matters that do not directly concern university roles, functions or duties. Official University spokespeople may make public statements on matters directly related to university roles, functions or duties, including the wellbeing and safety of staff and students, financial and resource management, sustainability, equity, and university obligations related to Te Tiriti o Waitangi as laid out in the Education and Training Act 2020. Institutional neutrality is not a retreat from important conversations, but a commitment to creating an environment where such conversations can freely take place.

Background To meet the requirements of the [Education & Training Amendment Act 2025](#), which became law on the 18th November 2025, members of the VC's Freedom of Expression Advisory Group drafted a Freedom of Expression Statement which Council approved for consultation purposes at its August 2025 meeting. The broader University community was invited to make submissions on the statement from 13 August to 17 October. The Advisory Group considered the submissions in October and proposed edits where justified whilst remaining consistent with the new legislation (included in Appendix A). The revised draft was discussed at the 17 November meeting of Senate. Senate was asked to recommend that Council adopt the Freedom of Expression Statement, with the majority of Senate voting in favour of the motion and only a few abstentions and votes against.

Refining the draft Statement through consultation

To arrive at the strongest draft possible and encourage wide participation in the consultation process, the Advisory Group:

- Published a draft of the Statement on the University website that included [FAQs](#)
- Communicated the consultation period in The Loop Whaimōhio Staff News, a VC's all-staff email, and the home page of the staff intranet
- Presented to each Faculty during regularly scheduled faculty meetings wherein verbal feedback was recorded
- Presented to the Student Consultative Group wherein verbal feedback was recorded
- Garnered 48 online submissions from students and staff during the open consultation period of 13 August to 17 October

Both verbal and written feedback included positive comments about the draft Statement's simplicity, clarity and affirmation of the right to freedom of expression. Comments were generally requests for further clarification of the practical application of the Statement, such as who does or doesn't represent the University when making public statements. There were also concerns expressed about the potential for harmful speech and negative outcomes for vulnerable groups in our community. The Advisory Group will provide clarification on the application of the Statement and how the Statement will operate with contextual policies through supporting materials.

A smaller proportion of the feedback recommended edits to the Statement. The Advisory Group carefully considered this feedback and has sought to address the key matters raised both through revisions to the draft Statement and through explanatory commentary provided to Senate. The Advisory Group has also noted further consequential actions to be progressed post finalisation of the Statement, including the development of additional supporting materials to provide further clarity as to how the Statement will be implemented and how the complaints process and reporting will operate. The Advisory Group thanks the University community for the robust conversation and feedback resulting in a stronger draft.

Draft Freedom of Expression Statement revisions from previous draft

Waipapa Taumata Rau | University of Auckland fulfils its ~~its~~ **a** role as critic and conscience of society through the ~~preservation and enhancement~~ **protection and promotion** of freedom of expression and academic freedom. Our university is a place where diverse cultures, identities, ethnicities and value systems contribute to research, ~~and~~ teaching, and related activities. Respect for everyone's ~~ability~~ **right** to express ~~diverse~~ their views and a commitment to civil discourse ~~is~~ **are** critical to our function. ~~To fulfil these commitments,~~ The University actively fosters and supports lawful and constructive debate by its staff and students on any ~~issue~~ **topic**, including with the participation of external speakers invited by a staff member, ~~or~~ **a** recognised student association or **student** club. The University may reasonably regulate the time, place, and manner of expression ~~to ensure that it does not disrupt~~ **so that** the ordinary activities of the University **are not unduly disrupted**.

The University ~~may make provisions and statements on,~~ **as an institution, will not take public positions on** matters **that do not** directly related ~~to~~ **concern** University roles, functions and duties. **Official University spokespeople may make public statements on matters directly related**

to university roles, functions or duties, including the wellbeing and safety of staff and students, financial and resource management, sustainability, and equity, ~~It may also comment on its~~ **and university** obligations related to Te Tiriti o Waitangi as laid out in the Education and Training Act 2020. ~~It will not take positions on matters that do not directly relate to university roles, functions or duties.~~ **Institutional neutrality is not a retreat from important conversations, but a commitment to creating an environment where such conversations can freely take place.**

Survey and Complaints Mechanism Progress

All NZ universities will survey staff and students annually to ask the following key questions;

1. In the last 12 months I have been able to exercise academic freedom in my university.
2. I am aware of how to raise a formal complaint regarding academic freedom.
3. In the last 12 months I have been able to exercise freedom of expression in my university.
4. I am aware of how to raise a formal complaint regarding freedom of expression.

Negative responses to questions 1 and 3 prompt a drop-down menu of reasons the survey participant may have felt limited, along with a free text box to add more information.

All NZ universities will report annually on the outcome of the surveys and on any complaints that have been received during the year relating to freedom of expression or academic freedom.

Appendix A

To comply with the new amendments to the ETA made through the [Education & Training Amendment Act 2025](#), the University Council must adopt a statement on freedom of expression as set out under Section 281A:

281A Requirement for university council to adopt statement on freedom of expression

- (1) The council of a university must develop and adopt a statement that sets out the university's approach to freedom of expression.
- (2) The statement must be consistent with the following:
 - (a) universities should recognise that freedom of expression is critical to maintaining academic freedom:

- (b) universities should actively foster an environment where ideas can be challenged, controversial issues can be discussed, and diverse opinions can be expressed:
 - (c) universities' policies and procedures relating to freedom of expression should be clear, consistently applied, and focused on fostering genuine debate rather than restricting it:
 - (d) universities, as institutions, should not take public positions on matters that do not directly concern their role or functions:
 - (e) universities should not limit the freedom of expression of staff or students, except where the exercise of free expression is likely to be unlawful or to disrupt the ordinary activities of the university:
 - (f) universities should provide a platform for invited speakers of diverse viewpoints, and should not deny the use of university premises by an invited speaker because of that speaker's ideas or opinions.
- (3) In subsection (2)(g), invited speaker means a speaker invited by staff or any student association or student club of the university.



ClockTower – Room 105:221C

22 Princes Street
Auckland

1010

INTERNAL MEMORANDUM

To: COUNCIL

DATE: 02 December 2025

SUBJECT: SCHOLARSHIPS AND PRIZES STATUTE 2025 - DELEGATIONS

9.3

Background

1. The power to grant scholarships, bursaries and prizes is vested in Council, except where it is exercised by delegation, pursuant to section [283\(2\)\(b\)](#) of the Education and Training Act 2020 (**Act**).
2. Council delegated its power to grant scholarships, bursaries and prizes to the Vice Chancellor by the Delegations of Authority University Council to Vice-Chancellor dated 26 August 2019, pursuant to section [285\(1\)](#) of the Act.
3. Council has made the Scholarships and Prizes Statute 2025 (**Statute**) pursuant to section [284\(1\)](#) of the Act. The Statute defines a “scholarship” to include an “award” and a “bursary” (as those terms are defined in the Statute).
4. The Statute records the delegation by Council of its power to grant scholarships, bursaries and prizes to the Vice Chancellor.
5. The Vice-Chancellor now wishes to sub-delegate a number of functions and powers related to the Scholarships and Prizes Statute to senior members of staff. Section [286\(5\)-\(6\)](#) of the Act allows for such sub-delegations subject to Council approval.

Recommended Council Resolutions

That Council

1. **APPROVES the subdelegation** by the Vice Chancellor of the following functions and powers to one or more staff members, pursuant to section [286\(5\)-\(6\)](#) of the Act:

- (a) approve the form of Specific Terms for scholarships and for prizes in section 4(2)-(3) of the Statute;
- (b) stipulate, amend, and/or revoke the Specific Terms for a scholarship or prize in section 4 of the Statute;
- (c) appoint a selection body for a scholarship or prize where required in section 8(2) of the Statute; and
- (d) grant a scholarship or prize pursuant to section 8(1) of the Statute.

2. **NOTES** that the exercise of the remaining functions and powers in the Statute are within the jurisdiction of the Vice-Chancellor as the manager of the academic and administrative affairs of the University pursuant to section [294\(1\)](#) of the Act and may be subdelegated by the Vice-Chancellor to one or more staff members of the University pursuant to section [295](#) of the Act.

Signed by two Council members in accordance with section [286\(6\)](#) of the Act:

Date signed: _____

To: Council
From: Vice-Chancellor
Date: 03.12.2025
Subject: Council Delegations - Doctoral Degrees and MPhil

BACKGROUND

Currently, the Board of Graduate Studies (BoGS) oversees the doctoral research portfolio and reports directly to Senate. Although it is chaired by the PVC Global and Graduate Research, the portfolio lacks a champion at DVC level, which impacts its inclusion in matters before Budget Committee and UEC. The current arrangement silos the doctoral portfolio from other key academic portfolios in the University and is not conducive to effective academic leadership.

From 1 January 2026, the Research Committee will establish a new sub-committee: the Graduate Research Committee. This sub-committee will subsume the role of the current Board of Graduate Studies, which will be disestablished as a result. The purpose of this change in committee structure is to ensure the doctoral research portfolio is aligned with the Research and Innovation portfolio, under the leadership of the DVC Research and Innovation.

These changes have been discussed and endorsed by the BoGS, the Research Committee, and Senate.

This memo addresses the implications of this change on delegations currently made by Council to **BoGS**, which should be revoked and instead delegated to the Vice-Chancellor (or delegate).

1. The power to provide courses of study or training, admit students and grant awards must be exercised by Council except where it is exercised by delegation under the Education and Training Act 2020 (ETA section [283](#)).
2. It is recommended that Council resolve, with effect from **1 January 2026**, to:
 - (a) **Revoke** all delegations made by Council to the Board of Graduate Studies (**BOGS**) existing as at 31 December 2025.
 - (b) **Delegate** to the Vice-Chancellor (or delegate) the power to determine:
 - i. all matters pertaining to admission, registration, enrolment, candidature, supervision and examination for the degrees of Doctor of Philosophy (**PhD**); Doctor of Clinical Psychology; Doctor of Education; Doctor of Fine Arts; Doctor of Health Sciences; Doctor of Medicine; and Doctor of Medical Sciences (**named doctorates**) and for doctoral adjacent postgraduate certificates
 - ii. all matters pertaining to admission, registration, enrolment, candidature, and examination for the degrees of Doctor of Engineering; Doctor of Laws; Doctor of Literature; and Doctor of Science (**higher doctorates**)
 - iii. the award of all PhDs, named doctorates and higher doctorates
 - iv. all matters pertaining to admission, registration, enrolment, candidature, supervision and examination for the Master of Philosophy (**MPhil**)
 - v. the award of the degree of MPhil.
 - (c) **Vest** in the Vice-Chancellor (or delegate) all the powers and duties delegated to and/or vested in BOGS by the statutes and regulations made by Council and policies and procedures approved by Council listed in the Appendix 1.
 - (d) **Delegate** to the Vice-Chancellor the power to approve the amendment of the statutes, regulations, policies and procedures listed in Appendix 1 to give effect to the resolution in item 2(c).
 - (e) **Approve** the subdelegation by the Vice-Chancellor of the powers and duties delegated to and/or vested in the Vice-Chancellor under items 2(b)-(d) (or any of them) to staff members of the University.
3. It is recommended that Council resolve, with effect from **1 January 2026**, to:
 - (a) **Amend** the definition of Associate Dean/Director (Postgraduate Research) in each of the statutes, regulations, policies and procedures listed in Appendix 2 so that the definition reads as follows:

***Associate Dean/Director (Postgraduate Research)** normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person's nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.*
 - (b) **Amend** the statutes, regulations, policies and procedures listed in Appendix 3 in the way described in Appendix 3.

APPENDIX 1

Statutes, regulations, policies and procedures to be amended so that the powers and duties previously delegated to and/or vested in the Board of Graduate Studies are delegated to and/or vested in the Vice-Chancellor (or delegate) from 1 January 2026

2016 PhD Statute and Guidelines
DocFA Candidate Research Capacity Policy and Procedures
Doctoral - Change of Thesis Title Procedures
Doctoral Off-Campus Research Policy and Procedures
Doctoral Appointment of Examiners Policy and Procedures
Doctoral Candidate Research Capacity Policy and Procedures
Doctoral Candidature Appeal Procedures
Doctoral Candidature Intervention Policy and Procedures
Doctoral Confirmation of Candidature Policy and Procedures
Doctoral Continuation of Confirmed Candidature Policy and Procedures
Doctoral Examination Procedures
Doctoral Exceptional Circumstance Entry Policy and Procedures
Doctoral Extension of Enrolment Policy and Procedures
Doctoral Full-Time and Part-Time Enrolment Policy and Procedures
Doctoral Off-campus Research Policy and Procedures
Doctoral Oral Examination Procedures (2011/2016 PhD Statutes only)
Doctoral Oral Examinations Organisation and Reimbursement Procedures
Doctoral Oral Examinations Procedures
Doctoral Supervision Policy and Procedures
Doctoral Suspension of Enrolment Policy and Procedures
Doctoral Termination Proceedings Policy
Doctoral Thesis Policy and Procedures
Doctoral Thesis Submission Post-Examination Procedures
Doctoral Thesis Submission Pre-Examination Procedures
Doctoral Transfer Policy and Procedures
MPhil Procedures
PhD - Including Scholarly Creative Work Policy and Procedures
PhD - Masters Thesis Transfer Policy and Procedures
PhD - Subject Area Changes Policy and Procedures
PhD - Subject Area Policy
PhD - Thesis Examiner Guidelines (2011/2016 PhD Statutes only)
PhD - Thesis Examiner Policy and Procedures (2011/2016 PhD Statutes only)
PhD Candidate Withdrawal from Programme Procedures
PhD Domestic Tuition Fees Policy
PhD Statute
PhDs - with Creative Practice Procedures (2011/2016 PhD Statutes only)
Provisional Year Review Procedures (2016 PhD Statute only)
Statute and Guidelines (2016 Statute)
Programme regulations - The Degree of Doctor of Clinical Psychology (DClinPsy) 2022

Programme regulations - The Degree of Doctor of Clinical Psychology (DClinPsy) 2020
Programme regulations - The Degree of Doctor of Clinical Psychology (DClinPsy) 2016
Programme regulations - The Degree of Doctor of Education (EdD) 2022
Programme regulations - The Degree of Doctor of Education (EdD) 2016
Programme regulations - The Degree of Doctor of Fine Arts (DocFA) 2022
Programme regulations - The Degree of Doctor of Fine Arts (DocFA) 2016
Programme regulations - The Degree of Doctor of Health Sciences (DHSc) 2022
Programme regulations - The Degree of Doctor of Medical Sciences (DMedSc) 2025
Programme regulations - The Degree of Doctor of Medicine (MD) 2022
Programme regulations - The Degree of Doctor of Medicine (MD) 2016
Programme regulations - The Degree of Doctor of Engineering – DEng
Programme regulations - The Degree of Doctor of Laws – LLD
Programme regulations - The Degree of Doctor of Literature – LittD
Programme regulations - The Degree of Doctor of Science – DSc

APPENDIX 2**Statutes, regulations, policies and procedures where the definition of ADPGR is to be amended from 1 January 2026**

Doctoral Candidates - Resources Policy
Doctoral Candidature Appeal Procedures
Doctoral Candidature Intervention Policy and Procedures
Doctoral Confirmation of Candidature Policy and Procedures
Doctoral Continuation of Confirmed Candidature Policy and Procedures
Doctoral Examination Appeal Procedures
Doctoral Examination Procedures
Doctoral Extension of Enrolment Policy and Procedures
Doctoral Off-campus Research Policy and Procedures
Doctoral Suspension of Enrolment Policy and Procedures
Doctoral Termination Proceedings Policy
Doctoral Transfer Policy and Procedures
MPhil Procedures

9.4

APPENDIX 3

Statutes, regulations, policies and procedures to be amended as described below from 1 January 2026

2016 PhD Statute

Regulation 9e.

REPLACE

“The Associate Dean will normally be from the same faculty as the candidate, but if that person is in the same department as the candidate then an Associate Dean from another faculty, or another Associate Dean from their faculty who is not in the same department, should be substituted.”

with

“The Associate Dean will normally be from the same faculty as the candidate, but if that person considers that they have a conflict of interest or is absent from duty or needs to manage their workload then an Associate Dean from another faculty/LSRI, or an Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean from their faculty should be substituted.”

Doctoral Examination Extraordinary Circumstances and Posthumous Award Procedures

ADD to the definitions section:

“**Associate Dean/Director (Postgraduate Research)** normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.”

Also, REPLACE

“5. An associate dean/ director (Postgraduate) must establish a committee comprising the **academic head**, the candidate’s main or joint supervisor and a senior member of the faculty who has not been involved in supervision of the student.

6. The committee is to be chaired by the associate dean/ director.”

with

“5. An **Associate Dean/ Director (Postgraduate Research)** must establish a committee comprising the **academic head**, the candidate’s main or joint supervisor and a senior member of the faculty/LSRI who has not been involved in supervision of the student.

6. The committee is to be chaired by the Associate Dean/ Director (Postgraduate Research).”

Doctoral Exceptional Circumstance Entry Policy and Procedures

ADD to the definitions section:

“**Associate Dean/Director (Postgraduate Research)** normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty

or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.”
Doctoral Full-Time and Part-Time Enrolment Policy and Procedures ADD to the definitions section: “Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.”
Doctoral Oral Examination Procedures (2011/2016 PhD Statutes only) ADD to the definitions section: “Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.
PhD - Masters Thesis Transfer Policy and Procedures ADD to the definitions section: “Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.”
PReSS Account Policy and Procedures ADD to the definitions section: “Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person’s nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.” Also, ADD to the definitions section: “Academic Head refers to the person holding the appointment of Head of the relevant academic unit or to their nominee”



Internal Memorandum

To	Council
From	Frank Bloomfield, Deputy Vice-Chancellor (Research and Innovation)
Date	10 December 2025
Subject	Approval of revised Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)

Recommendations

That Council **APPROVE** the revised Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs) (Version 1.1).

Approval of revised SOPs

On 28 April 2025 Council approved new SOPs for the two IECs hosted by the University: the University of Auckland Human Participant Ethics Committee (UAHPEC) and the Auckland Health Research Ethics Committee (AHREC). Following this approval, consultation has been undertaken with the University research community, the Health Research Council Ethics Committee (HRC EC) and Health New Zealand on the University's [revised Ethical Guidelines](#). This consultation process has resulted in some consequential amendments to the SOPs, most notably in the framing of exemptions to ethics approval requirements. As part of its re-accreditation application to the HRC EC, the University had proposed an ethics exemption for certain low-risk secondary use of data research involving data from trusted databanks with robust data governance and data access arrangements in place. This exemption would have avoided unnecessary duplication of application and approval processes for researchers. The HRC EC has, however, advised that it is unwilling to approve the University's re-accreditation application with this exemption included. Other amendments to the SOPs include: removal of content that is now contained in the revised Ethical Guidelines, and amending the quorum to the lesser of half

the committee members or nine (9) members to provide some flexibility to hold smaller committee meetings as required. Council approval is now sought to approve version 1.1 of the SOPs, which will then be published alongside the revised Ethical Guidelines.

Attachments

- A. Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs) (V.1.1)



University of Auckland | Waipapa Taumata Rau

9.5

Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)

Version 1.1

This Version 1.1 was approved by University Council on 10 December 2025 for immediate implementation.

Contents

1. INTRODUCTION.....	2
2. SCOPE OF THIS DOCUMENT	2
3. APPROVAL BY COUNCIL.....	3
4. ETHICAL STANDARDS	3
5. INTERNAL POLICY REQUIREMENTS.....	5
6. IEC TERMS OF REFERENCE.....	6
7. IEC MEMBERSHIP REQUIREMENTS	8
8. IEC CHAIRS AND DEPUTY CHAIRS	11
9. IEC MEETINGS	13
10. APPROACH TO RISK	14
11. APPLICATION TYPES AND PATHWAYS	14
12. AMENDMENTS.....	16
13. IEC DECISIONS.....	16
14. EXEMPTIONS	17
15. RATIFICATIONS	17
16. QUALITY IMPROVEMENT, CLINICAL AUDITS AND CLINICAL TRAINING.....	18
17. DELEGATION OF AUTHORITY.....	18
18. FACULTY ETHICS ADVISERS.....	18
19. REPORTING	19
20. OFFICIAL INFORMATION ACT (OIA) REQUESTS	19
21. ADVERSE EVENTS AND COMPLAINTS	19
APPENDIX 1: APPROVERS OF IEC GOVERNANCE DOCUMENTS	22
APPENDIX 2: ABBREVIATIONS	23
APPENDIX 3: GLOSSARY.....	23

1. INTRODUCTION

Waipapa Taumata Rau | University of Auckland (**University**) hosts two Institutional Ethics Committees (**IECs**) that are approved by the Health Research Council Ethics Committee (**HRC EC**) under sections 25(1)(c) and 25(1)(f) of the *Health Research Council Act 1990*:

- i. Te Komiti mō ngā Tāngata Whai Pānga Matatika o Waipapa Taumata Rau | University of Auckland Human Participants Ethics Committee (**UAHPEC**)
- ii. Auckland Health Research Ethics Committee (**AHREC**).

The purpose of these two hosted IECs is to review and approve the adequacy of protections for human participants in research studies that fall outside the eligibility criteria for review by a Health and Disability Ethics Committee (**HDEC**).

AHREC reviews health research, health-related research and clinical research that is not eligible for review by HDEC and is conducted by staff and students of the University and staff of the Health New Zealand | Te Whatu Ora Northern Region (**Health New Zealand**): Te Toka Tumai Auckland (previously Auckland DHB); Counties Manukau (previously CM Health); Waitemata (previously Waitematā DHB), and Te Tai Tokerau (previously Northland DHB). AHREC has its own Governance Board with representatives from the University and Health New Zealand that is responsible for ensuring effective oversight and support for AHREC, as further detailed in a Letter of Agreement (LOA) between the University and Health New Zealand.

UAHPEC reviews research involving human participants that is conducted by the University's staff and students and is not eligible for review by HDEC or AHREC.

2. SCOPE OF THIS DOCUMENT

These SOPs are intended to satisfy the policy and procedure requirements set out in Section 4.3 of the current *HRC Guidelines for Approval of Ethics Committees* (**HRC Approval Guidelines**).¹

Section 4.3 requires that organisations hosting IECs have sufficient policies and procedures in place to ensure the effective governance and efficient operation of IECs. These policies and procedures are required to address the following areas:

- Terms and conditions of appointment of members
- Training of members
- Chairperson requirements
- Processes to ensure robust ethical review of applications
- IEC decision-making processes
- Processes for consultation outside of the IEC to address skill or knowledge gaps
- Any variations to the normal review process, such as fast-track (expedited) approvals.

These SOPs should be interpreted using the [Glossary](#) and [Abbreviations](#) sections of the University's [Ethical Guidelines for Conducting Research with Human Participants](#) (**Ethical Guidelines**).

¹ Health Research Council of New Zealand "HRC Guidelines for Approval of Ethics Committees (Approval Guidelines)" (November 2012) Health Research Council of New Zealand <www.hrc.govt.nz>

3. APPROVAL BY COUNCIL

These SOPs require review and approval by the University Council at least every three years.

Recommendations to review and approve the SOPs shall be made to Council by the Deputy Vice-Chancellor (Research and Innovation).

4. ETHICAL STANDARDS

Section 4.5 of the HRC Approval Guidelines requires that IECs have policies and procedures in place to ensure that IECs are applying the highest national and internationally accepted standards for the conduct of research. In fulfilling this requirement, this section details the ethical standards that AHREC and UAHPEC must take into consideration in their review of ethics applications. Where there is any inconsistency between the ethical standards set out in this section, the IECs shall seek guidance from the HRC EC via the University's Ethics Team, who shall update the University's *Ethical Guidelines* accordingly.

Declaration of Helsinki

The World Medical Association (**WMA**) has developed the Declaration of Helsinki as a statement of ethical principles for medical research involving human participants, including research involving identifiable human material or data. All members of AHREC are expected to be familiar with and be able to apply the Declaration of Helsinki ethical principles in their review processes. As the Declaration of Helsinki is specific to the medical research context, members of UAHPEC are encouraged, but not required, to familiarise themselves with the ethical principles set out in the Declaration of Helsinki.

Declaration of Taipei

The Declaration of Taipei sets out the ethical principles for the collection, storage and use of identifiable data and biological material in health databases and biobanks. All members of AHREC are expected to be familiar with and be able to apply the Declaration of Taipei ethical principles in their review of applications involving health databases and biobanks. As the Declaration of Taipei is specific to the medical research context, members of UAHPEC are encouraged, but not required, to familiarise themselves with the ethical principles set out in the Declaration of Taipei.

National Ethical Standards

The National Ethics Advisory Committee (**NEAC**) is a ministerial advisory committee established in 2001 under New Zealand legislation (now under authority of section 92 of the *Pae Ora (Healthy Futures) Act 2022*) to provide advice to the Minister of Health on ethical issues of national significance in respect of any health and disability matters (including research and health services) and to determine nationally consistent ethical standards across the health and disability sector and provide scrutiny for national health research and health services.

The *National Ethical Standards for Health and Disability Research and Quality Improvement* (**National Ethical Standards**) were published by NEAC in 2019 and set out the minimum standards that researchers must meet or exceed when undertaking health or disability research. The National Ethical Standards also set out the ethical requirements that health service providers and disability service providers must meet or exceed when conducting quality

improvement activities. The Standards provide detailed guidance to support IECs to differentiate 'research' from 'health and disability research' and 'quality improvement' activities.

Of critical importance for IECs is the partnership of Te Ara Tika principles and bioethics principles, which provide the ethical sources for the National Ethical Standards, as depicted in Figure 1 below. The National Ethical Standards include a detailed description of each Te Ara Tika principle and bioethics principle and then apply these principles throughout each of the ethical standards.

All members of AHREC are expected to be familiar with and be able to apply the National Ethical Standards in their review processes. As the National Ethical Standards are specific to the health and disability research and quality improvement contexts, members of UAHPEC are encouraged, but not required, to familiarise themselves with the ethical principles set out in the National Ethical Standards.



Figure 1 - Partnership of Te Ara Tika principles and bioethics principles. Source: National Ethical Standards (2019)

HRC Research Ethics Guidelines

The HRC Research Ethics Guidelines provide a list of ethical principles that should be used by IECs to review ethics applications in the areas of:

- Informed consent
- Scientific design and the conduct of the study
- Risks and potential benefits
- Selection of study population and recruitment of research participants
- Payments for participation in research
- Protection of research participants' privacy and confidentiality
- Cultural responsiveness.

The HRC Research Ethics Guidelines also set out the New Zealand Acts of Parliament, guidelines, regulations and documents that may inform the governance and review processes of IECs. The application of these legislative instruments and guidelines is incorporated into these SOPs and the University's *Ethical Guidelines*, as required.

All members of AHREC and UAHPEC are expected to be familiar with and able to apply the HRC Research Ethics Guidelines in their review processes.

Professional Codes

Professional codes can impose requirements on IEC members and researchers in particular professions. Research should be conducted in accordance with all applicable professional codes. However, where there is an inconsistency between a professional code and the University's policies and procedures, including these SOPs and the University's *Ethical Guidelines*, the IEC member or researcher should inform and seek advice from the University's Ethics Team.

5. INTERNAL POLICY REQUIREMENTS

This section details some of the key internal policies and codes of the University that IECs take into consideration when reviewing ethics applications. For the latest version of these policies, visit the Policy Hub on the University's website.

Code of Conduct

The Code of Conduct sets out the University's expectations of the standards of behaviour of all members of the University community, including IEC members. The key principles of the Code are as follows:

- We act with manaakitanga: this means we show respect, care and support for others, and we act with kindness and hospitality.
- We foster whanaungatanga: this means we commit to making our University community a place in which all feel they belong.
- We build kotahitanga: this means we recognise that our community of teaching, learning and research is a partnership between our students and our staff
- We uphold kaitiakitanga: this means we recognise our responsibilities as kaitiaki (guardians) to protect and respect our environment, traditions, knowledge, culture, languages and other taonga.

Ethics Review of Research Involving Human Participants Policy

The University's *Ethics Review of Research Involving Human Participants Policy* requires that all research involving human participants that are carried out by members of the University, including research within teaching sessions, must obtain approval from either HDEC or the University's IECs, except those activities classified as exempt.

Research Integrity Policy

The University's *Research Integrity Policy* sets out policy requirements for University staff and students to conduct research in accordance with the highest standards of research integrity. This includes obtaining all necessary ethics approvals when required and ensuring that the conditions of such approvals and undertakings made to human participants are adhered to during and after the research activities.

Legislative Compliance Policy and Procedures

The University's *Legislative Compliance Policy and Procedures* require the University's Deputy General Counsel to identify the key legislative compliance obligations relevant to the University's operations and record these obligations in an obligations register. This includes legislative compliance obligations relating to the hosting of IECs and the conduct of research.

6. IEC TERMS OF REFERENCE

The University publishes its terms of reference for hosted IECs and other approved University Committees on its website.² This Section 6 of the SOPs details the terms of reference for AHREC and UAHPEC that have been approved by the University Council.

UAHPEC

The Terms of Reference for UAHPEC and its subcommittees are:

- To ensure that **eligible human participant research** complies with the highest ethical standards.
- To protect the interests of participants, researchers and the University.
- To promote awareness within the University community of ethical issues relating to research with human participants
- To provide an avenue for handling complaints or queries made by any interested person in relation to an ethical review process, ethics approval or research conducted without ethics approval.

The functions of UAHPEC include:

- Reviewing, and where satisfied that it is appropriate, approving applications and amendments in accordance with the University's Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)
- Partnering with the University Ethics Team and faculty and Large-Scale Research Institute Ethics Advisors to provide advice and assistance regarding ethical principles to anyone undertaking such research
- Receiving, recording, and responding to information concerning adverse events, queries, and complaints
- Referring research integrity matters, such as the conduct of research without ethics approval, to the University's Research Integrity Officer to be managed in accordance with the Research Integrity Policy
- From time to time, conducting audits of approved projects to ensure that the research has been carried out according to the approval that was given
- Seeking expert opinion when required from relevant committees and groups, such as the Health Research Council Ethics Committee (HRC EC), National Ethics Advisory Committee (NEAC) and University Māori Research Governance Group. However, the confidentiality of the proposal and details of the issue under appraisal must be protected.
- Referring ineligible research to the Auckland Health Research Ethics Committee (AHREC) or Health and Disability Ethics Committees (HDECs) as required. Studies at the intersection of health and technology (for example the development of Apps, web based resources, AI or emerging technologies) may be referred to AHREC at the discretion of the Ethics Team and the Chair of AHREC.

Membership of each UAHPEC subcommittee shall include:

- One lay Chair (Lay)
- One non-lay Deputy Chair (Institutional)

² For a list, see: <https://www.auckland.ac.nz/en/about-us/about-the-university/the-university/governance-and-committees/committees/a-z-committees.html>

- One nominee of the Pro Vice-Chancellor (Māori) (Institutional / Lay)
- One nominee of the Pro Vice-Chancellor (Pacific) (Institutional / Lay)
- One member with expertise in the area of moral philosophy (Institutional/Lay)
- One member with legal expertise (Institutional/Lay)
- One student representative nominated by Auckland University Students' Association (AUSA) Executive Committee and/or Postgraduate Students' Association (PGSA) (Lay)
- Additional lay and non-lay members approved by the Deputy Vice-Chancellor (Research and Innovation) (or their delegate) to address the composition and experience requirements set out in the IEC SOPs (Institutional / Lay).

Relevant definitions are:

- 'Eligible human participant research' is defined as human participant research conducted by members of the University community that is not eligible for consideration by HDEC or AHREC.

AHREC

The Terms of Reference for AHREC are:

- To ensure that **eligible health research** complies with the highest ethical standards
- To protect the interests of participants, researchers and **AHREC member institutions**
- To promote awareness within the AHREC member institutions of ethical issues relating to health, health-related, and clinical research.
- To provide an avenue for handling complaints or queries by any interested person in relation to an ethical review process, ethics approval or research conducted without ethics approval.

The functions of AHREC include:

- Reviewing, and where satisfied that it is appropriate, approving applications and amendments in accordance with the University's Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)
- Partnering with the University Ethics Team, University faculties, Health New Zealand Research (National Office) staff and clinicians, and Large-Scale Research Institute Ethics Advisors to provide advice and assistance regarding ethical principles to anyone undertaking such research
- Receiving, recording, and responding to information concerning adverse events, queries, and complaints
- Referring research integrity matters, such as the conduct of research without ethics approval, to the University's Research Integrity Officer to be managed in accordance with the Research Integrity Policy or to the Health New Zealand Research (National Office), as required
- From time to time, conducting audits of approved projects to ensure that the research has been carried out according to the approval that was given
- Seeking expert opinion when required from relevant committees and groups, such as the Health Research Council Ethics Committee (HRC EC), Standing Committee on Therapeutic Trials (SCOTT), Gene Technology Advisory Committee (GTAC), Ethics Committee on Assisted Reproductive Technology (ECART), the National Ethics Advisory Committee (NEAC), Health and Disability Ethics Committees (HDECs), National Artificial Intelligence (AI) and Algorithm Expert Advisory Group (NAIAEAG), University

Human Health Research Governance Committee (HHRGC) and University Māori Research Governance Group (MRGG). However, the confidentiality of the proposal and details of the issue under appraisal must be protected.

- Referring ineligible research to the University of Auckland Human Participant Ethics Committee (UAHPEC) or Health and Disability Ethics Committees (HDECs) as required.

Membership of AHREC shall include:

- One lay Chair (Lay)
- One non-lay Deputy Chair (Institutional)
- One nominee of the Pro Vice-Chancellor (Māori) (Institutional / Lay)
- One nominee of the Pro Vice-Chancellor (Pacific) (Institutional / Lay)
- One member with expertise in the area of moral philosophy (Institutional / Lay)
- One member with legal expertise (Institutional/Lay)
- One nominee of Te Toka Tumai Auckland (Institutional)
- One nominee of Counties Manukau (Institutional)
- One nominee of Waitemata (Institutional)
- One nominee of Te Tai Tokerau Northland (Institutional)
- Additional lay and non-lay members approved by the Deputy Vice-Chancellor (Research and Innovation) (or their delegate) to address the composition and experience requirements set out in the IEC SOPs (Institutional / Lay).

Relevant definitions are:

- ‘Eligible health research’ is defined as health research, health-related research and clinical research that is not eligible for review by HDEC and is conducted by staff and students of AHREC member institutions.
- ‘AHREC member institutions’ are the University and Health New Zealand Northern Region: Te Toka Tumai Auckland (previously Auckland DHB); Counties Manukau (previously CM Health); Waitemata (previously Waitematā DHB), and Te Tai Tokerau (previously Northland DHB).

7. IEC MEMBERSHIP REQUIREMENTS

The guiding principles for IEC membership are set out in Section 4.2 of the HRC Approval Guidelines. The application of these guiding principles to AHREC and UAHPEC membership is set out in this Section of the SOPs. The Deputy Vice-Chancellor (Research and Innovation) shall have regard to these principles when recommending new members to the University Council for approval.

General principles

AHREC and UAHPEC members shall:

- have the appropriate expertise, skills, knowledge and perspectives to conduct ethical review of the best quality
- be capable of undertaking ethical reviews that are robust, expert, and include an element of independence
- possess an attitude that is accepting of the values of other professions and community perspectives
- be from a range of backgrounds, expertise and ethnicities.

Lay Chair requirements

AHREC and UAHPEC shall have a lay Chairperson and a non-lay Deputy Chairperson.

A layperson³ is a person who:

- has no affiliation to the University or Health New Zealand
- is not a registered health practitioner, and has not been a registered health practitioner at any time during the five years preceding in the date of their appointment, and
- is not involved in conducting health or disability research, or employed by an organisation whose primary purpose relates to health and disability research, and
- may not otherwise be construed by virtue of employment, profession, relationship or otherwise to have a potential conflict or bias with the work of the committee.

Composition of IECs

As required by Section 4.2(c) of the Approval Guidelines, membership of UAHPEC and AHREC shall reflect the knowledge and expertise that each IEC requires to ensure the protection of research participants and the enhancement of public confidence in the system of ethics review.

The Deputy Vice-Chancellor (Research and Innovation) shall have regard to the following factors when considering the composition of the IECs and when recommending new members to the University Council for approval:

- the IECs must be large enough to ensure that a range of perspectives, experience and expertise are represented in the ethical review,
- Where relevant, members should include individuals with experience and expertise in:
 - te reo Māori and the understanding of tikanga Māori;
 - ethical and moral reasoning;
 - law;
 - the perspectives of wider community (e.g. the perspectives of consumers of health and disability services, ethnic communities);
 - the design and conduct of intervention studies;
 - the design and conduct of observational studies;
 - the provision of health and disability services;
 - reviewing either qualitative or quantitative research;
 - the perspectives of student community.
- Sufficient members whose background is not in health research to ensure that they feel comfortable voicing their views.
- For committees reviewing low risk health research, at least two appropriately qualified health professionals, one clinically trained and one in active practice.
- A gender balanced committee, as close to half male to half female as feasible.

In situations where it is not possible to comply with the exact composition requirements set out in Section 4.2(c) of the HRC Approval Guidelines, the University will prioritise memberships in

³ Health Research Council of New Zealand, *Approval Guidelines*, s 4.2

the order of priority required by the HRC EC, which is Māori, gender, lay versus non-lay and then other cultural considerations.

In addition to the above general principles, the Deputy Vice-Chancellor (Research and Innovation) will have regard to the Te Ara Tautika | The Equity Policy of the University when reviewing the composition of IECs and making recommendations to University Council.

Recruitment and appointment of members

Recruitment of members will be managed by the University's Ethics Team.

Recruitment and selection of AHREC members will be undertaken in consultation with the AHREC Governance Board and, in the case of Health New Zealand nominees, Health New Zealand Research (National Office).

Methods of recruitment may include public or institutional advertisements, self-nomination, nomination by third parties, and direct approaches to possible candidates. Prospective members may be asked to provide a CV, names of up to two referees, and to submit to an interview, as appropriate.

Lay member appointments shall be approved by the University Council on the recommendation of the Deputy Vice Chancellor (Research and Innovation).

The Ethics team shall advise the Deputy Vice Chancellor (Research and Innovation) of the recruitment and appointment of additional lay and non-lay members on a quarterly basis.

Term of membership

The term of membership is two years, with the exception of UAHPEC student representatives for whom the membership term is one year.

Appointments may be renewed, but no member shall serve more than six years in total. However, in some circumstances, with approval from HRC EC, the appointment of members can be extended beyond six years if it is deemed that the effectiveness of the committee would otherwise be compromised.

Conduct

Members are expected to comply with the University's Code of Conduct at all times and to work collaboratively with other IEC members and the University's Ethics Team. Members are expected to be diligent, prepared, participatory and respectful of differences of opinion.

Conflicts of Interest

Members must declare any potential conflicts of interest (COI) at each IEC meeting. Declaration of a COI and how it is managed must be noted by the Chair and recorded in the minutes. COIs include when a member of the Committee is named as a Principal Investigator (PI) or is part of the research team for an application on the IEC agenda. During the meeting, the member must leave the meeting when the IEC reviews and discusses the application.

Confidentiality

IEC members have a responsibility to respect confidentiality of information with which the IEC deals. This includes matters tabled or discussed at IEC meetings, as well as any additional issues raised outside meetings.

Training

The University's Ethics Team is responsible for providing ethics training to new and existing IEC members. IEC members must attend at least 80% of the scheduled training sessions, and be able to demonstrate the required level of knowledge to assess applications for ethical compliance. If an IEC member is absent for more than half of the scheduled training sessions without justification, their membership may be terminated.

Attendance and Leave

IEC members are expected to attend and actively participate in at least 80% of scheduled IEC meetings throughout the year. If an IEC member is absent for more than half of the scheduled meetings in a calendar year without justification, their membership may be terminated. If there is notice of absence in advance (for example, due to taking study leave, illness, or parental leave) for more than three consecutive meetings during the year, they will be replaced either temporarily or permanently.

Payment/Reimbursement

Lay members will receive an attendance fee for attending each IEC meeting. The attendance fee equals the half-day attendance rate for approved University Committees that is approved by University Council with reference to the maximum fees set by the Ministry of Education pursuant to clause 17 of Schedule 11 of the *Education and Training Act 2020*.

In addition to the attendance fee, lay members may also receive an additional fixed fee for acting as full application reviewers and for participating in out-of-cycle and expedited decision-making. Lay member eligibility for these additional fees will be specified in writing by the University where applicable.

Costs of transport are paid, and parking can also be arranged.

8. IEC CHAIRS AND DEPUTY CHAIRS

There shall be one Chair and Deputy Chair for AHREC and one Chair and Deputy Chair for each subcommittee of UAHPEC.

The responsibilities of the Chairs and Deputy Chairs are to:

- Conduct meetings in accordance with these SOPs
- Ensure the meeting follows the agenda and the committee reaches clear decisions
- Ensure that all members have the opportunity and are comfortable to participate in discussion
- Review expedited applications
- Review and ratify the use of an approved ethics application from another University/Institution
- Accept and review out of cycle applications
- Investigate complaints, and adverse events relating to approved research.

Recruitment and appointment of Chairs and Deputy Chairs

Recruitment of the Chairs and Deputy Chairs will be managed by the University Ethics Team.

AHREC Chair and Deputy Chair selection will be in consultation with the AHREC Governance Board.

Methods of recruitment may include public or institutional advertisements, self-nomination, nomination by third parties, and direct approaches to possible candidates. Prospective Chairs and Deputy Chairs may be asked to provide a CV, names of up to two referees, and to submit to an interview, as appropriate.

Chair appointments shall be approved by the University Council on the recommendation of the Deputy Vice Chancellor (Research and Innovation).

Term requirements

The term of the Chair and Deputy Chair is two years. Appointments may be renewed, but no Chair shall serve more than three consecutive terms (six years). In limited circumstances with approval from HRC EC, the appointment of Chairs and Deputy Chairs can be extended beyond six years if it is deemed that the effectiveness of the committee would otherwise be compromised.

Attendance and Leave

IEC Chairs and Deputy Chairs are expected to attend and actively participate in at all scheduled IEC meetings throughout the year.

Unavailability of Chair

If the Chair is unable to attend a single meeting, then the Deputy Chair shall assume the role of Acting Chair. If the Chair is unable to attend two or more consecutive meetings, then the Deputy Vice-Chancellor (Research and Innovation) shall appoint a lay member from one of the University's IECs as Acting Chair. Failure to attend three or more IEC meetings during a calendar year may result in the Chair being replaced temporarily or permanently.

Unavailability of Deputy Chair

If the Deputy Chair is unable to attend a meeting, then the Chair shall appoint an institutional member of the IEC as Acting Deputy Chair. Failure to attend three or more IEC meetings during a calendar year may result in the Deputy Chair being replaced temporarily or permanently.

Payment/Reimbursement

IEC Chairs will receive an annual fee during their approved term. In the first year of appointment, the annual fee shall be pro-rated based on the commencement date. The annual fee amount for Chairs of approved University Committees is approved by the University Council with reference to the maximum fees set by the Ministry of Education pursuant to clause 17 of Schedule 11 of the *Education and Training Act 2020*.

IEC Chairs are expected to allocate twenty-six hours a month (on average) to their role to remain eligible for the annual fee. If additional hours are required to complete tasks or additional work approved by the Head of Research Ethics, the Chairs may receive additional fees. IEC Chair eligibility for these additional fees will be specified in writing by the University where applicable.

Costs of transport are paid, and parking can also be arranged.

Principal Chair

From the group of appointed Chairs and Deputy Chairs, the Deputy Vice-Chancellor (Research and Innovation) shall appoint a Principal Chair.

The responsibilities of the Principal Chair are to:

- provide IEC leadership for the HRC EC re-approval and reporting processes,
- represent the IECs in discussions and correspondence with the HRC EC,
- Provide advice and opinions on emerging ethical matters where appropriate,
- Provide feedback on matters to process and changes relating to the IECs.

9. IEC MEETINGS

Meeting frequency

AHREC shall meet monthly and each of the UAHPEC subcommittees shall meet monthly.

Applications will be placed on the agenda when they meet the requirements for review, and all relevant documentation, information, and attachments to the application (for example participant information sheets and consent forms) have been provided. A compliance check will be made prior to any application being placed on the next available agenda.

Additional meetings or a cap on application numbers may be used to manage high application numbers where necessary. Any additional meetings are subject to resourcing allocations.

Mode of attendance

As Secretariat for AHREC and UAHPEC, the Ethics Team shall determine whether an IEC meeting is to be held in person or online. In making this decision, the Ethics Team shall balance the HRC EC preference in the HRC Approval Guidelines for face-to-face meetings with the efficiency and effectiveness benefits that can be gained through online meetings.

Minutes

A record of minutes must be kept for each IEC meeting. The minutes are required to contain the following information:

- Members in attendance;
- Apologies for members unable to attend;
- The agenda for the meeting;
- Record of any declaration of potential conflicts of interest, and the decision the IEC made to manage these declarations;
- A summary of the main ethical issues and discussions of each application that takes place during the meeting;
- Decision made at the meeting, and whether the decision was by consensus or vote;
- Any formal dissent from members;
- If an application is declined, a summary of the reasons why.

Draft minutes should be formally confirmed as a true and accurate record at the next IEC meeting. Confirmation of minutes requires two members of the IEC (should not be the Chair) to make a motion to approve that minutes are accurate and correct.

Quorum

A quorum consists of the lesser of half the members of each IEC's membership (including the Chair or acting Chair) or nine (9) members of each IEC. For UAHPEC, this means the lesser of half the members for each sub-committee (including the Chair or Acting Chair) or nine (9) members of each IEC.

If a meeting is inquorate, absent committee members can be asked to provide input by correspondence as long as the Chair believes this has allowed an adequate assessment of the application.

Decision-making process

The IECs should endeavour to reach decisions by consensus. Where consensus is not possible at a meeting, then a resolution may be passed by a majority of the IEC members who are in attendance, with the Chair having a casting vote.

Consultation outside the IECs

Where there is insufficient expertise on the IECs to assess an application properly or address an issue raised, the IECs may seek additional expert advice. Such experts may be invited to attend a relevant meeting to provide advice, but they should not be present during committee deliberations.

9.5

10. APPROACH TO RISK

IECs shall adopt a proportionate approach to ethical oversight whereby the level of ethical review undertaken is proportionate to the risks involved. Risk in this context refers to both the probability and magnitude of harms arising from the research.

See section 1.5 'Potential harms' and 1.6 'Risk Framework' of the [Ethical Guidelines](#) for information on the different types of harms and the risk categories that will be considered by each IEC in its assessment of risk.

11. APPLICATION TYPES AND PATHWAYS

Application types

AHREC and UAHPEC shall accept two types of applications:

1. Individual applications:
 - a. all staff-led applications. Note, AHREC shall accept staff-led application from the University of Auckland and other AHREC member institutions
 - b. student research that does not meet the eligibility criteria for Coursework applications, as set out in Section 1.13 of the [Ethical Guidelines](#).
2. Coursework applications for student research that meet the requirements set out in Section 1.13 of the [Ethical Guidelines](#).

IECs have the right not to consider or accept applications that are incomplete or inadequate.

Individual applications

Individual applications shall be required for:

- all applications from staff of the University and Health New Zealand Northern Region,
- student research projects for theses or dissertations for credit of 90 points or more,
- small student research projects (less than 90 points credit) that are more than low-risk.

Coursework applications

Coursework applications must:

- be for less than 90 points course
- involve no more than low-risk
- avoid deception or withholding of material information
- exclude human participants lacking capacity to give informed consent

Where Course-based research falls outside these conditions, students must submit an individual research application with Supervisor support unless approved by the Chair of UAHPEC to be managed as a Coursework Application.

The Chair of AHREC or UAHPEC may consider requests from Supervisors for research projects for 90 point or more courses to be managed as Coursework Applications where the projects are low-risk and being undertaken under a common research protocol.

For further information on course-based research activity see section 1.13 'Student Research' of the [Ethical Guidelines](#).

Application pathways

AHREC and UAHPEC shall provide three pathways for review of ethics applications:

1. expedited review for low-risk applications
2. full review for more than low-risk applications
3. out-of-cycle review for urgent applications.

[Expedited review](#)

Expedited reviews are reserved for low-risk applications.

Applications that meet the low-risk test, as described in the [Ethical Guidelines](#), are reviewed by two IEC members, including the Chair.

Applications that are identified as not meeting the low-risk test at any stage in the review process are referred for full review or out-of-cycle review.

[Full review](#)

Any research not qualifying for an expedited review on assessment by the Ethics Team or the Chair during the review process will be directed to the full review pathway.

Applications processed under the full review pathway will be reviewed by two IEC members (committee reviewer(s)) prior to any consideration by the IEC. Committee reviewers will provide advice and recommendations to IEC on the level of ethical compliance demonstrated in the application commensurate to level of risk. The application will then be reviewed by the full IEC during the meeting.

After each IEC meeting, the Ethics Team will send the applicant an outcome letter to advise the IEC decision, usually within five working days.

[Out-of-cycle review](#)

In exceptional circumstances, applications may be reviewed outside the scheduled IEC meetings if accepted by the IEC Chair. Requests for an out of cycle review must be made in writing by the applicant to the IEC Chair via the University's Ethics Team. An application

accepted by the Chair for an out of cycle review will be reviewed by four committee members, including the Chair. Decisions will be ratified at the following IEC meeting.

12. AMENDMENTS

Amendment requests are requests submitted by applicants to make changes to a previously approved application. Amendments are categorised by the Ethics Team as minor amendments or major amendments.

Minor amendments

Minor amendments are amendments that are unlikely to alter the balance of potential benefits and risks of harm for participants.

These minor amendments can include:

- Administrative changes to study documents
- Changes to research personnel (including supervisors) that do not materially alter the oversight of the study
- Date extensions
- Minor changes to project design
- Other minor amendments that are required as a condition by IECs.

Minor amendments are approved under delegation by IEC Chairs and the Head of Research Ethics, subject to any delegation limitations imposed by HRC EC.

Major amendment

Major amendments are amendments that are likely to alter the balance of potential benefits and risks of harm for participants.

These major amendments can include:

- Substantial change to the methodology and research design
- Changes to the research team that materially affect the study oversight
- Addition of new participant cohort
- Addition of use of new datasets from databanks/biobanks
- Change to research locality (overseas and domestic).

Major amendments are managed using the full review or out-of-cycle pathways.

The IEC may approve the amendment request, ask for further information, or they may request the applicant submit a new application.

13. IEC DECISIONS

Once the application is reviewed by AHREC or UAHPEC, the Committee will make one of the following decision types:

- **Approved:** The ethics application is approved, and the proposed research can proceed subject to standard conditions.

- **Approved with Comment:** The ethics application is approved with comments, and the proposed research can proceed subject to standard conditions. Other minor conditions may also be included.
- **Conditionally Approved:** There are Non-Minor Conditions that must be addressed by amending and resubmitting the application for review by the Chair.
- **Pending resubmission:** Approval has not been granted because there are substantive ethical issues that need to be addressed or insufficient information provided to enable AHREC or UAHPEC to make a decision. Applicants must make the changes required and resubmit the application for review at a future meeting.
- **Empowered:** In some cases, one or more Committee Members can be empowered by the Ethics Committee to work with applicants to resolve outstanding issues until the application can be approved.
- **Not required:** The Committee may decide that an ethics application or approval is not required.
- **Declined:** The application cannot be approved due to significant ethical issues and risks.
- **Referred to another Institutional Ethics Committee or HDEC:** The research falls within the scope of another Institutional Ethics Committee or HDEC.

The difference between standard, minor and non-minor Conditions is set out in Section 3.3 of the [Ethical Guidelines](#).

14. EXEMPTIONS

AHREC and UAHPEC shall treat the activities listed under section 1.2 'UAHPEC and AHREC Exemptions' of the [Ethical Guidelines](#) as exempt in their review of ethics applications.

Any amendments to these exemptions shall be approved by the Deputy Vice-Chancellor (Research and Innovation).

15. RATIFICATIONS

The Chair of AHREC and UAHPEC is delegated to ratify applications that have been approved or considered exempt by another domestic or international Institutional Ethics Committee or Institutional Review Board other than HDEC.

The following conditions must be satisfied for ratification to be considered:

- The original approval is from a committee whose standards are broadly comparable to those of AHREC or UAHPEC (as applicable)
- The staff member(s) seeking ratification is/are named on the original approved application (or an approved amendment)
- Any intended New Zealand research site are included in the original approval (or an approved amendment).

- The staff member confirms that only the participants described in the originally approved application will be involved.

Upon receiving an application for ratification, the Chair may refer the ratification request to the full IEC for review. See section 3.4 'Ratifications' of the [Ethical Guidelines](#) for further information on the ratification process.

16. QUALITY IMPROVEMENT, CLINICAL AUDITS AND CLINICAL TRAINING

The University and Health New Zealand have agreed that AHREC will only review more than low-risk Quality Improvement (QI) projects, Clinical Audits and Clinical Training activities.

Low-risk QI projects, Clinical Audits and Clinical Training activities will be reviewed directly by Health New Zealand and the University (as applicable).

Section 2.11 of the [Ethical Guidelines](#) includes guidance on when review by AHREC may be appropriate.

17. DELEGATION OF AUTHORITY

Head of Research Ethics

The Head of Research Ethics has delegated decision-making authority for:

- Minor amendments.

Chairs and Deputy Chairs

The IEC Chairs (including Acting Chairs and Deputy Chairs) may exercise delegated decision-making for:

- Minor amendments
- Ratifications.

18. FACULTY ETHICS ADVISERS

The Deputy Vice-Chancellor (Research and Innovation) shall appoint University staff members as Faculty Ethics Advisers to provide disciplinary-specific ethical advice and support within faculties and Large-Scale Research Institutes.

Wherever possible, the Faculty Ethics Adviser will be an IEC member to ensure consistency of advice and IEC decision-making.

Recruitment of Faculty Ethics Advisers will be managed by the Research Ethics Team who shall confirm Academic Head endorsement of the proposed appointment and associated service contribution prior to requesting final Deputy Vice-Chancellor (Research and Innovation) approval. Faculty Ethics Advisers are required to attend at least 80% of the scheduled training sessions, and be able to demonstrate the required level of knowledge to assess applications for ethical compliance.

19. REPORTING

UAHPEC and AHREC report to the University Council annually and at other times as requested by the University Council. AHREC also reports annually to the AHREC Governance Board and Health NZ. Both IECs report annually to the HRC EC.

The annual reports for the University Council and HRC EC are prepared by the Head of Research Ethics for approval by the Deputy Vice-Chancellor (Research and Innovation) for submission to the University Council, Health New Zealand Research (National Office) or the HRC EC as required.

The process of preparing and approving IEC reports and other IEC governance documentation is outlined in the Documents Management Table in Appendix 1 of these SOPs.

20. OFFICIAL INFORMATION ACT (OIA) REQUESTS

Requests under the *Official Information Act 1982* may be received from time-to-time and will be directed to the Head of Research Ethics who will liaise with the appropriate delegates at the University and Health New Zealand.

All minutes, agendas and written communications may be subject to OIA requests.

21. ADVERSE EVENTS AND COMPLAINTS

The sponsor of the study holds primary responsibility for the ongoing safety of research participants, including the identification, documentation and timely reporting of adverse events and complaints to the IECs and relevant regulatory authorities. The IEC's role is to review these reports, assess the adequacy of the sponsor's response, and take further action only if necessary to protect participant safety or ensure ethical compliance.

Adverse Event

IECs shall require written reports to be submitted in all cases of an adverse event. Guidance for researchers on the preparation of such reports is included in Section 3.6 of the [Ethical Guidelines](#).

[Reporting to the Deputy Vice-Chancellor \(Research and Innovation\)](#)

All serious adverse events shall be reported by the Head of Research Ethics to the Deputy Vice-Chancellor (Research and Innovation).

[Reporting to Health New Zealand](#)

Adverse events relating to Health New Zealand researchers and research projects shall be reported to the relevant authority at Health New Zealand.

Other complaints and expressions of concern

[Members of the public and participants](#)

Members of the public and research participants wishing to raise a complaint or expression of concern about research approved by the IECs may do so in writing to the IEC Chair via the Head of Research Ethics at humanethics@auckland.ac.nz. The complaint, or expression of concern, should be set out in sufficient detail to enable the Chair to understand both the research study and the issues of concern.

Members of the University and Health New Zealand

Members of the University and Health New Zealand wishing to raise a complaint or expression of concern about research approved by UAHPEC or AHREC must complete a *Report Form for Adverse Events and Complaints*. The form can be requested from the Ethics Team using humanethics@auckland.ac.nz and submitted to the IEC Chair via the Head of Research Ethics at the same email address.

Complaints about IEC or Chairs

If the complaint is about UAHPEC or AHREC or Chair, or if the complainant/informant is dissatisfied with the Chair's response, the complainant/informant should, in the first instance, write to the Head of Research Ethics who will then direct the complaint or concern to the Deputy Vice-Chancellor (Research and Innovation).

Privacy and Confidentiality

To protect the privacy of the complainant or informant, the researchers and research participants, all information about a complaint or alleged adverse event will initially be treated as confidential to the Chair and the Head of Research Ethics. The Head of Research Ethics, in consultation with Chair, will determine the appropriate levels of confidentiality throughout the proceedings.

Procedural fairness will normally require that details of the complaint or concern and sufficient information about the source of the complaint or concern will be made available to those about whom the complaint is made. A complainant or informant may request confidentiality, but must understand there will be circumstances where such a request will mean the complaint cannot be investigated. The complainant or informant will be advised if this is the case.

If the Head of Research Ethics, in consultation with the Chair, considers there are good reasons to protect the identity of the complainant or informant, and the investigation can still proceed in a procedurally fair manner, the identity of the complainant or informant may initially remain confidential.

In all cases, if the matter of complaint is of a serious nature and an investigation needs to be conducted urgently, the Head of Research Ethics and the Chair will take whatever steps they consider necessary.

At any stage of the investigation, the Head of Research Ethics and the Chair may determine that in the interests of the welfare of research participants, it is necessary for a disclosure to be made to specific persons who can assist those research participants.

Complainants/informants will be kept informed about the progress of their complaint

Investigation ProceduresMembers of Health New Zealand

When the complaint, matter of concern, or unexpected harm relates to Health New Zealand staff member(s) or participant(s), the investigation will be undertaken in accordance with the processes and policies of Health New Zealand Research (National Office) and if required will make recommendations to AHREC Chair in relation to the ethics approval.

Members of the University

When the complaint, matter of concern or unexpected harm relates to members of the University community, the initial investigation will be undertaken by the Head of Research Ethics who will make recommendations to the appropriate IEC Chair in relation to the ethics approval. As part of this investigation and subject to the privacy and confidentiality obligations outlined above, the subject of the complaint or expression of concern will be provided with the opportunity to respond in writing to the complaint or expression of concern.

Potential Outcomes

The potential outcomes from the investigation include:

- no further action
- request for an amendment
- referral to the University's *Research Integrity Officer* (where a breach of the University's Research Integrity Policy is suspected).
- suspension or cancellation of ethics approval referral to the HRC EC for advice, or
- referral to another appropriate body or agency.

Any recommendation to suspend or cancel an ethics approval must be endorsed by the Deputy Vice-Chancellor (Research and Innovation) and ratified at the next IEC meeting.

All outcomes will be reported to the relevant IEC and shall be included in the annual report to HRC EC, subject to the University's privacy and confidentiality obligations.

9.5

APPENDIX 1: APPROVERS OF IEC GOVERNANCE DOCUMENTS

The below table provides an overview of the review and approval process for essential IEC governance documents.

Documents Management Table

Document	Document Owner	Approved By	Consulted	Responsible
Ethical Guidelines	DVC (R & I)	UoA: DVC (R & I) External: HRC EC (for changes requiring HRC EC approval)	AHREC Governance Board Human Health Research Governance Committee Māori Research Governance Group	Head of Research Ethics
SOPs for IECs	DVC (R & I)	University Council (on the recommendation of the DVC (R & I))	AHREC Governance Board Human Health Research Governance Committee	Head of Research Ethics
Annual Reports for Council	DVC (R & I)	University Council (on the recommendation of the DVC (R & I))	AHREC Governance Board (for AHREC only)	Head of Research Ethics
HRC annual reports and Accreditation (3 yearly)	DVC (R & I)	DVC (R & I)	AHREC Governance Board (for AHREC only)	Head of Research Ethics

9.5

APPENDIX 2: ABBREVIATIONS

The abbreviations used in this document have the same meaning as those set out in the [Abbreviations](#) section of the Ethical Guidelines, as updated from time to time.

APPENDIX 3: GLOSSARY

The defined terms used in this document have the same meaning as those set out in the [Glossary](#) section of the Ethical Guidelines, as updated from time to time.

Memorandum

Date 1st December 2025
To: Council
Prepared by Tim Bluett, Chief Financial Officer
Subject Adoption of Deed of Indemnity (**Dol**) from the University to the University Foundations

PURPOSE Council is requested to approve the adoption of a new Deed of Indemnity from the University to the Foundations, and to delegate to the Chancellor and Vice-Chancellor to execute the **Dol** on behalf of the University.

NOTED THAT:

- A. The University of Auckland (**University**) is party to a memorandum of understanding dated 18 March 2025 with The University of Auckland Foundation (registered charity number CC10985) (the **UOA Foundation**) and The University of Auckland Medical & Health Sciences Foundation (registered charity number CC30871) (the **MHS Foundation**).
- B. Council approved the execution of the MoU at the meeting on 17 March 2025.
- C. The MoU refers to a Deed of Indemnity (Reference Clause 6 of the MoU): "The University will formally indemnify the Foundations and their respective Trustees and officers for the time being against liabilities incurred in the exercise of the powers and authorities conferred by and in the management of the Foundations and all trusts, sub-trusts and specific gifts for which the Foundations render services, which provide a benefit to the University, its staff, students or purposes. The terms of such indemnification (and associated notification and other processes and relevant limitations) are set out in a separate Deed of Indemnity signed by the University in favour of the Foundations and their trustees from time to time (Deed of Indemnity)."
- D. It was subsequently discovered that a Deed of Indemnity had never been formalised. A draft had been prepared at the time the original Memorandum of Understanding was established in 2018. We have now reviewed and advanced the original draft to bring it into a form that is relevant and fit for purpose for current circumstances.

9.6

- E. The review was initiated by the University and Foundations. The Chief Financial Officer has been the primary University representative managing the review process, supported by General Counsel. Buddle Findlay has provided legal advice to the University. The Trustees have sought their own legal advice through TGT.
- F. The parties have reached agreement on the provisions contained in the **DoI**. The University has confirmed through its insurance broker that the terms of Directors and Officers Insurance (which extends to cover Trustees) will not be negated by the terms of the Deed.
- G. The Foundations boards are due to approve the terms of the Deed of Indemnity and its execution at their meeting scheduled during the week commencing 1 December 2025.
- H. The University is proposing to enter into the agreed form of Deed of Indemnity, as set out in the appendix to this resolution (the **DoI**).
- I. External legal counsel has confirmed that the University has the power to provide the indemnity in the form that has been drafted.
- J. Having regard to the Council's powers under section 283(2)(d) and (k) of the Education and Training Act 2020, the Council has received the updated **DoI** for approval.

RESOLVED THAT:

- 1. The entry into, execution and performance of, the **DoI** is approved.
- 2. Execution of the **DoI** by the Chancellor and the Vice-Chancellor, acting for and on behalf of the University, is approved.

Appendix 1– DoI

Appendix 2 – Copy of the Signed Memorandum of Understanding dated 18 March 2025

Dated

2025

DEED OF INDEMNITY

9.6

Given by

THE UNIVERSITY OF AUCKLAND

in favour of

The University of Auckland Foundation

**The University of Auckland Medical & Health
Sciences Foundation**

and

**Their trustees from time to time and former
trustees**

CONTENTS

1. DEFINITIONS AND INTERPRETATION	1
2. INDEMNITY	2
3. NOTIFICATION AND CONSULTATION	2
4. COMPROMISES OF CLAIMS	3
5. DEMANDS	3
6. ADVANCEMENT OF COSTS AND REPAYMENT	4
7. INSURANCE	4
8. SUBROGATION	4
9. ACCESS TO RECORDS	4
10. CONTINUING INDEMNITY	5
11. THIRD PARTY RIGHTS	5
12. BENEFIT OF DEED AND AMENDMENT	5
13. GENERAL PROVISIONS	6

Deed of indemnity

THIS DEED is made by **THE UNIVERSITY OF AUCKLAND** on this day of 2025

INTRODUCTION

- A. The University of Auckland (the "**University**") and the Foundations entered into a Memorandum of Understanding on 20 March 2025 (the "**MOU**") setting forth the policies and procedures that will contribute to the co-ordination of their mutual activities and success.
- B. The MOU provides that the University will formally indemnify the Foundations, their respective Trustees from time to time in office and former trustees against liabilities incurred in the exercise of the powers and authorities conferred by and in the management of the Foundations and all trusts, sub-trusts and specific gifts for which the Foundations render services, which provide a benefit to the University, its staff, students or purposes.
- C. Accordingly, the University wishes to indemnify the Indemnified Persons as set out in this Deed.

TERMS OF THIS DEED**1. DEFINITIONS AND INTERPRETATION**

In this Deed, unless the context otherwise requires:

Deed means this Deed.

Indemnified Person means:

- (a) each of the Foundations;
- (b) any Former Trustee; and
- (c) any Trustee.

Former Trustee means any person who was a duly appointed trustee of a Foundation who has since been removed or retired as a trustee of a Foundation for any reason.

Foundations means the University of Auckland Foundation and the University of Auckland Medical & Health Sciences Foundation, and "**Foundation**" shall refer to either one of them as the context requires.

Trustee means any person who is a duly appointed trustee of a Foundation (including for the avoidance of doubt any person duly appointed after the date of the Deed).

1.2 Interpretation: In the interpretation of this Deed, unless the context otherwise requires:

- (a) headings are for ease of reference only and are to be ignored in the interpretation of this Deed;

- (b) **person** includes an individual, a body corporate, an association of persons (whether corporate or not), a trust, or any governmental or regulatory authority, in each case whether or not having a separate legal personality;
- (c) references to clauses are to clauses in this Deed; and
- (d) the singular includes the plural and vice versa.

2. INDEMNITY

2.1 **General:** Subject to compliance by the relevant Indemnified Person with the requirements of clauses 3 and 4, the University agrees to indemnify each Indemnified Person against:

- (a) **Costs:** any costs incurred by the Indemnified Person in any proceeding:
 - (i) that relates to liability for any act or omission of the Indemnified Person in the exercise of the powers and authorities conferred by and in the management of the Foundations and all trusts, sub-trusts and specific gifts for which the Foundations render services; and
 - (ii) in which the Indemnified Person is acquitted, or has judgment given in the Indemnified Person's favour, or which is discontinued, or if the proceeding relates to regulatory action which is concluded with no finding of fault or breach on the part of the Indemnified Person; and
- (b) **Liability:** liability to any person (other than the University or a Foundation):
 - (i) for any act done or omission made in the Indemnified Person's capacity as a Trustee of a Foundation, including in the exercise of the powers and authorities conferred by and in the management of the relevant Foundation and all trusts, sub-trusts and specific gifts for which the Foundation renders services, from the date of their respective appointment as a Trustee;
 - (ii) for any payments made to any person whom a Foundation believes in good faith to be entitled thereto although it may be subsequently found that the recipient was not in fact so entitled; and
 - (iii) for all costs the Indemnified Person incurs in defending or settling any claim or proceeding relating to such liability.

2.2 **Limitation on indemnity for liabilities incurred:** An Indemnified Person shall not be indemnified under clause 2.1(b) where the liability of that Indemnified Person:

- (a) is criminal liability; or
- (b) arises out of or in connection with fraud, other wilful misconduct or gross negligence on the part of the Indemnified Person; or
- (c) is any other liability for which the giving of an indemnity is prohibited by law.

3. NOTIFICATION AND CONSULTATION

3.1 **Notification:** Each Indemnified Person must:

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- (a) notify the University as soon as reasonably practicable following the Indemnified Person becoming aware of any actions, proceedings, claims or demands actually commenced or made or threatened in writing for which that Indemnified Person may be entitled to be indemnified under clause 2;
- (b) fully consult with the University on the steps to be taken, if any, in defending such actions, proceedings, claims or demands; and
- (c) give the University and its insurers and their respective representatives (including legal representatives) such information and assistance and co-operation as may reasonably be required, having regard to the interests of the Indemnified Person, the University and the University's insurers.

4. COMPROMISES OF CLAIMS

- 4.1 **Settlement or compromise:** An Indemnified Person must not settle or compromise any action, proceeding, claim or demand actually commenced or made or threatened in writing for which that Indemnified Person is, or for which the University acknowledges that the Indemnified Person is, entitled to be indemnified under clause 2, unless the University has given its prior written consent to the proposed settlement or compromise. Such consent is not to be unreasonably or arbitrarily withheld or delayed by the University.
- 4.2 **Consultation:** The University must fully consult with an Indemnified Person in relation to any proposal from the Indemnified Person to settle or compromise any action, proceeding, claim or demand.

5. DEMANDS

- 5.1 **Demands payable:** The University shall pay to an Indemnified Person upon demand all amounts which may from time to time be demanded by that Indemnified Person under the indemnity contained in this Deed, provided that that Indemnified Person shall have first provided the University with evidence, to the reasonable satisfaction of the University, of the obligation of that Indemnified Person to himself or herself pay the amounts demanded.
- 5.2 **Demand service:** The parties agree that any demand made by an Indemnified Person for payment of any amounts which may become payable by the University under this Deed, shall be deemed to have been sufficiently made upon the University if made in writing and served in accordance with clause 5.3.
- 5.3 **Method of demand:** Any such notice shall be deemed to have been duly given, made or served:
 - (a) if delivered by hand, when so delivered; or
 - (b) if sent by electronic means, when so delivered provided that such notice is sent to the following electronic address:
 - (i) in respect of the University, to vice-chancellor@auckland.ac.nz.
 - (ii) in respect of any Indemnified Person, to foundationgifts@auckland.ac.nz.

6. ADVANCEMENT OF COSTS AND REPAYMENT

- 6.1 **University to meet costs:** Subject to compliance by the relevant Indemnified Person with the requirements of clauses 3 to 5, where it appears to the parties that an Indemnified Person is entitled to the indemnity under clause 2, the University will meet any costs incurred by that Indemnified Person in respect of defending or settling proceedings as they are incurred.
- 6.2 **Costs to be Repaid:** Where, in the reasonable opinion of the University, it is unclear whether an Indemnified Person is entitled to the indemnity under clause 2, then the University will meet any costs incurred or to be incurred by that Indemnified Person provided that that Indemnified Person gives a written undertaking that any advanced payment will be repaid in full together with reasonable interest if:
- (a) judgment is not given in that Indemnified Person's favour;
 - (b) that Indemnified Person is not acquitted; or
 - (c) it transpires that that Indemnified Person is not entitled to the indemnity under clause 2.

7. INSURANCE

- 7.1 **Insurance:** The University acknowledges and agrees that nothing in this Deed:
- (a) limits the University or an Indemnified Person from obtaining insurance for any acts or omissions which are subject to the indemnities under clause 2; and
 - (b) in the event of such insurance being obtained, to the extent of any inconsistency between this Deed and any such insurance the terms of this Deed shall prevail,
- and, for the avoidance of doubt, if any insurer assumes control of any proceedings relating to any actual or threatened action, proceeding, claim or demand to which this Deed applies and in a manner that is permitted by the terms of such insurance, this will not prejudice an Indemnified Person's right of indemnity under this Deed.

8. SUBROGATION

- 8.1 **Subrogation of rights:** If the University makes any payment in accordance with this Deed, in respect of any costs or liability for which an Indemnified Person is entitled to the indemnity under clause 2, the University is to be subrogated to the rights of that Indemnified Person (including, without limitation, any rights of recovery under insurance or otherwise) to the extent that such payment relates to, or arises out of, the act or omission of that Indemnified Person which gave rise to their right of indemnification under this Deed. Any such right of subrogation shall be limited to the amount of any payment made by the University in accordance with the indemnity under clause 2.

9. ACCESS TO RECORDS

- 9.1 **Access to be provided:** The University agrees to provide an Indemnified Person with access, at reasonable times, to all books, records and other information of the University, in whatever form and however stored ("**Records**"), which relate to any claim made or proceedings brought against that Indemnified Person for any act or omission in relation to that Indemnified Person's capacity as a Foundation or a Trustee of the relevant Foundation.

9.2 **Access after ceasing to be a Trustee:** After an Indemnified Person who is a Trustee ceases to be a Trustee of the relevant Foundation, the Indemnified Person will have access to the Records under clause 9.1 (just as if that clause continued to apply to the Indemnified Person) where:

- (a) the Former Trustee is defending, or there is a reasonable prospect that the Former Trustee will be defending, a claim made or proceedings brought against that Former Trustee for any act or omission in relation to that Former Trustee's capacity as a former trustee of the relevant Foundation; and
- (b) the purpose of the Former Trustee seeking access to those Records is to conduct those legal proceedings, or to enforce, monitor compliance with, or protect his or her position under this Deed.

10. CONTINUING INDEMNITY

10.1 **Indemnity continuing:** The indemnity given under this Deed shall be irrevocable without the consent of the relevant Indemnified Person and shall continue in effect notwithstanding the fact that the Indemnified Person may have resigned, retired or been otherwise removed as a Trustee of the relevant Foundation.

11. THIRD PARTY RIGHTS

11.1 For the purposes of the Contract and Commercial Law Act 2017, Part 2, Subpart 1, the University acknowledges that the promises in clauses 2.1, and 7, subject to clauses 2.2, 3, and 4, each confer a legally enforceable benefit on each Indemnified Person.

12. BENEFIT OF DEED AND AMENDMENT

12.1 **Acknowledgement:** The University acknowledges that this Deed is made for the benefit of, and is intended to be enforceable by, any person who is from time to time an Indemnified Person.

12.2 **Amendments without consent:** The University may, by a further deed, amend the provisions of this Deed without the consent of any Indemnified Person:

- (a) where such amendment is of a minor or technical nature;
- (b) where such amendment is to correct a manifest error; or
- (c) where such amendment is made to cure any ambiguity or correct or supplement any defective or inconsistent provision and, in the reasonable opinion of the University, is not prejudicial to the interests of the Indemnified Persons.

12.3 **Amendments affecting only future Indemnified Persons:** The University may, by a further deed, amend the provisions of this Deed in respect of persons who are not Indemnified Persons as at the effective date of the amendment, without the consent of any Indemnified Person.

12.4 **Amendments with consent of Indemnified Persons:** The provisions of this Deed as they apply to any Indemnified Person may be amended if the amendment has been agreed to in writing by that Indemnified Person.

12.5 **Notice:** Notice of any proposed amendment under clause 12.2 or 12.3 shall be given by the University to each Indemnified Person not less than 14 days before the date on which it is intended

that such amendment take effect, but the non-receipt of notice by any such Indemnified Person shall not affect the validity of any such amendment.

13. GENERAL PROVISIONS

- 13.1 **Deed severable:** Any unlawful or voidable provision in this Deed shall be read down so as to be valid and enforceable or, if it cannot be read down, will be severed from this Deed without affecting the validity, legality or enforceability of the remaining provisions, provided the reading down or severing does not materially affect the purpose of, or frustrate this Deed.
- 13.2 **Counterparts:** This Deed may be executed and delivered in two or more counterparts (including by way of electronic transmission), all of which when taken together shall constitute one and the same instrument and a binding and enforceable agreement. No counterpart shall be effective until each party has executed at least one counterpart.
- 13.3 **Governing law and jurisdiction:** This Deed will be governed by, and construed in accordance with, the laws of New Zealand and the University hereby submits to the exclusive jurisdiction of the courts of New Zealand for any matter arising under or relating to this Deed.

9.6

THIS DEED has been duly executed as a deed on the date stated above.

EXECUTED as a **DEED** for and on behalf)
of **THE UNIVERSITY OF AUCKLAND**)

Chancellor

Vice Chancellor

Print name

Print name

Memorandum of Understanding (MoU)

Between the University of Auckland, The University of Auckland Foundation, and
The Medical & Health Sciences Foundation (the "Parties")

_____ 2025

1.0 Parties

The University of Auckland ("the University") is a New Zealand university as established by The University of Auckland Act 1961. The principal activities of the University are the provision of teaching and research services. The University is a registered charity (CC20421).

The University of Auckland Foundation ("The Foundation") is a registered charity (CC10985). The Foundation's primary purpose is to receive, invest, manage and distribute gifts (in accordance with the intentions of the donor), to support the advancement of knowledge, (and the dissemination thereof by teaching and research), assisting students at the University, and the general advancement of the University. The Foundation is governed by a Trust Deed dated 1 January 2021 (and as subsequently updated).

The University of Auckland Medical & Health Sciences Foundation ("MHSF") is a registered charity (CC30871). The primary purpose of the MHSF is to receive, invest, manage and distribute gifts (in accordance with the intentions of the donor), usually associated with teaching, researching and assisting students at the Faculty of Medical & Health Sciences ('FMHS') at the University. MHSF is governed by a Trust Deed dated 1 January 2021 (and as subsequently updated).

Together, The Foundation and the MHSF are known as the "Foundations". Where this document refers to "Trustees," these are references to the members of The Foundation Board of Trustees and to members of the MHSF Board of Trustees.

2.0 Purpose of the MoU

This MoU replaces the previous document dated 12 April 2018.

This MoU is intended to record the relationship between the Foundations and the University, primarily by outlining the roles and responsibilities of each party.

This document articulates the special nature of the Foundations, their independence, and the fiduciary duties of their respective trustees and officers in ensuring donors' intentions are honoured whilst also acting in the best interests of their respective beneficiaries (primarily the University).

In no situation does this MoU override the Trustees' fiduciary responsibilities as outlined in their respective trust deeds and individual gift and sponsorship agreements.

3.0 Terms of Agreement

3.1 The Foundations' Relationship to the University

The Foundations exist to receive, invest, manage and distribute gifts in accordance with the donor's intentions. The Foundations play an important role in providing donors with a high level of trust that their gifts will be:

- properly recorded on receipt
- prudently managed and invested
- distributed to the University in a way that is consistent with the donors' intentions and in accordance with the Foundations' Trust Deed.

The Foundations may allocate any unrestricted funds to a Trustee Discretionary Fund(s) on the basis that any use of these monies is consistent with the respective Foundations' mission as outlined in their respective trust deeds.

The Foundations rely on University employees to support the Foundations' operational activities. The specific duties of these employees are more fully set out in their job descriptions as maintained by the University.

The Foundations' Policies & Procedures manual provides further information regarding the roles and responsibilities of the University's employees who support the Foundations' activities, including financial delegations.

9.6

3.2 The University's Relationship to the Foundations

The University is responsible for securing gifts, stewarding donors and utilising gifts, and developing and maintaining relationships with donors.

While there is no expectation for Trustees to solicit gifts, where individual trustees wish to, and the ARD Director has agreed with them supporting fundraising endeavours, University officials will work with the individual trustee(s) to identify, cultivate and solicit prospects for gifts or sponsorships.

The Vice-Chancellor of the University ('VC') is responsible for communicating the University's priorities and long-term plans to the Foundations either directly, or by delegation to an appropriate University official, (e.g. Deputy Vice-Chancellor Strategic Engagement).

The VC and or other University officials (e.g. the Deputy Vice-Chancellor Strategic Engagement) may periodically attend meetings of the Trustees. The Director of Alumni Relations and Development ('ARD') will have a standing invitation to attend such meetings in order to update Trustees on the status of fundraising activities within the University. Where such University officials attend meetings of the Trustees, it is recognised that they attend in their capacity as observers or advisors and as guests of the relevant meeting, with speaking rights but for the avoidance of doubt without voting rights on any matter requiring a formal approval of Trustees.

The Dean of the Faculty of Medical & Health Sciences (FMHS), by virtue of their ex officio position on the MHSF board, will attend and report to MHSF Trustees on the status of fundraising activities within the FMHS.

The University recognises and acknowledges that the Foundations are independent charitable entities that are required to keep all records and data confidential. Accordingly, the University will establish and enforce policies including, but not limited to, fraud, gift acceptance, cyber security and data security policies to support the Foundations' ability to respect and maintain the privacy of donors and the confidentiality of their records.

The University acknowledges that while certain of its employees will support each of the Foundations as contemplated by section 3.3 of this MoU, information of a foundation that those employees receive or hold by virtue of their role in supporting the activities of the foundation, is held as agent of the relevant foundation, remains information of the relevant foundation, and is not the University's information.

3.3 Funding and Administration of the Foundations

The University acknowledges the skill and care that the Trustees apply to their work and notes that they do so without charge.

The University will meet all administration costs of the Foundations, other than investment, most legal advice (which will be obtained directly by the relevant foundation and paid for by that foundation), and costs relating to their registration with Charities Services, in order to help maximise the financial impact of the gift being made to support the University.

For the avoidance of doubt, the University's support includes the provision, employment, and compensation of the necessary employees, some of whom are, at the discretion of the trustees, Officers to the Foundations, to support the activities of the Foundations in an effective and efficient manner. Please refer to section 3.4 for further details.

The University is responsible for the provision and payment of all support services to the Foundations, including, without limitation: office space, computer and telephone systems, utilities, adequate personnel, office supplies and other such services that may be necessary or required to fulfil the Foundations' responsibilities and obligations. The University is responsible for the employment, compensation and evaluation of the supplied personnel.

To the extent the University has agreed to fund the operation of the Foundations as summarised above, all expenditure will be incurred in accordance with University policies. All employees of the University are required to follow University policies and practices, particularly in relation to procurement, travel, gifts, hospitality and benefits.

The Foundations' Trustees and officers will periodically review the support that the University provides to ensure the Foundations can receive, invest, manage and distribute gifts (in accordance with the intentions of the donor and act in accordance with their Trust Deeds. If the Trustees of The Foundation or MHSF identify issues during any such periodic review, those matters will be raised with the University promptly.

3.4 Relationships with donors and allocation of costs against gifts received

Philanthropy is an important component of income for the University that helps enable it to meet its strategic objectives, maintain a high global ranking and retain its position as the leading University in New Zealand.

Every attempt is and will continue to be made by all parties to treat donors professionally, with the appropriate level of respect and transparency, and in accordance with agreements (either explicit or implicit) that exist between them, the Foundations and the University.

In particular, donors are typically promised (either explicitly in an agreement or implicitly via fundraising collateral) that no administrative charges will be charged against their gifts by the relevant foundation or by the University.

3.5 Fundraising and Gift Management

The acceptance and processing of gifts will be undertaken according to the University's Gift Acceptance Policy, the Gift Processing Manual maintained by ARD and the Foundations' Policies and Procedures Manual.

In accepting gifts and sponsorships, the Foundations will, without in any way compromising their independence, have regard to the policies and procedures of the University, maintain an awareness of its mission, as they relate to the Foundations' activities, including but not restricted to its academic pursuits, research, teaching and learning and the construction of its facilities for these purposes.

In order to ensure the undertakings and obligations promised in any gift or sponsorship agreements can be carried out, the agreements will generally be tri-partite agreements or deeds between the donor, The Foundation or the MHSF (as the case may be), and the University (or other beneficiary as agreed from time to time between the Foundations and the University).

The University will, at its discretion, set aside a budget each year to assist with creating an environment conducive to achieving the agreed levels of philanthropic support. This includes planning, executing, and paying for appropriate fundraising and donor acquisition programmes in support of the University's mission. These programmes may include: annual giving programs, major gifts, bequests, special projects, and campaigns.

9.6

3.6 Asset Management and Distribution

The Foundations are the stewards of monies or other securities or properties entrusted to them for specific educational and/or charitable purposes, usually associated with the University. The Foundations shall hold, invest and then subsequently make distributions arising from gifts received from donors (either the gifts themselves and/or their associated investment returns as appropriate) for purposes that are consistent with the terms outlined in the gift or sponsorship agreement.

With the support and resources provided by the University, as noted above, the Foundations are responsible for:

- the prudent financial stewardship of gifts and other income, including responsibility for receiving, managing, investing, and distributing gifts to the University in a professional and timely manner and in accordance with the intentions of the donor.
- the engagement of a reputable investment consultant to assist the Foundations in their investment practices (including the creation, maintenance, and observation of appropriate SIPOs) decisions, and reporting; and
- the engagement of reputable investment managers, as they see fit, who will charge fees (usually deducted at source and not directly paid by the Foundations).

When gifts are received with a supporting gift or sponsorship agreement for a clearly defined purpose (e.g. not into, say, a general student support or scholarship fund), the Foundations will disclose any terms, conditions or limitations associated with these gifts when granting and distributing monies to the University. The University will strictly abide by such restrictions and provide, where necessary, appropriate documentation to the Foundations that enables trustees to discharge their fiduciary obligations in relation to the use of the gifts or sponsorships.

The University acknowledges that as part of the process of it submitting an invoice to claim and accepting a gift from the Foundations, the University will be required to agree to use the funds in line with the purpose outlined in the gift or sponsorship agreement and to fulfil any obligations outlined in the said agreement or associated award letters.

The Foundations will, for each financial year, in accordance with the University's budget timeframe, inform the University of the monies that are forecasted for distribution from

the endowment fund for the following financial year. Such information will be communicated with individual faculties, large-scale research institutes or business units (e.g. the Scholarships Office).

The University acknowledges that at all times, but more particularly in periods of investment volatility and/or market downturns, trustees may suspend or lower endowment distributions so as to protect the long-term value of the original endowment as described in the gift agreement. If such actions are required, the trustees will promptly and proactively enter into discussions with the University to outline the likely timing and magnitude of any proposed reductions in, or suspensions of, endowment distributions.

The Foundations are only able to make funds available to the University if they are received from the donor (noting the University is responsible for securing gifts and stewarding donors as per 3.2). In the event a gift is not received, a pledge is not fulfilled, or if endowment distributions cannot be made (as outlined above), the University will be informed, and the Foundations and the University will work together to mitigate any funding shortfalls. In the event that shortfalls cannot be mitigated, the University will take the necessary action to address the position and /or provide funding as required to cover any shortfalls that occur.

For the avoidance of doubt, the Foundations are not responsible for supporting any funding shortfalls caused by donor non-payment or in the event endowment distributions need to be reduced or suspended.

3.7 Financial Statements and Audit

The Foundations, due to their consolidation within the University's accounts for financial reporting purposes, are required to annually commission an audit of their financial and operational records using and cooperating with, the professional services firm which provides audit services to the University. The University is responsible for the cost of audits (internal and external), which is led by the University. The foundation will be responsible for audits where Trustees require independence from the University.

The University will include the Foundations in its internal audit programme and will communicate such programme to the Foundations in a timely manner.

The Foundations will provide the University with annual reports summarising their investment returns and other such matters as the University may reasonably require from time to time.

3.8 Risk Management

Trustees are responsible for establishing a risk policy and risk management framework, which includes policies and procedures to effectively identify, assess, manage, monitor and report significant operating and financial risks and comply with laws, regulations and policies.

The University has the responsibility to ensure that support services are efficient and effective and that identified internal controls are embedded within University processes and procedures.

The Foundations rely on a number of University policies to manage a range of risks including, but not limited to fraud, gift acceptance, cyber security, data security, and other financial risks and crisis management.

The Foundations' Audit & Risk Committee will have overall responsibility for ensuring that the relevant foundation has an appropriate risk management framework in place, having regard to the Foundations' policies and procedures and those of the University's policies that are used and relied on.

Relevant University staff should periodically meet with the Foundations, provide updates on key risks and ensure that the Foundations continue to be covered by the appropriate risk frameworks.

The Chairs of the University and Foundations' Audit & Risk Committees should meet annually.

3.9 Foundation and MHSF seal and logo

Consistent with their mission to advance the plans and objectives of the University, the Foundations are granted a non-exclusive royalty-free licence to utilise the copyright (crest logos and logo artwork) of the University in accordance with the License to Utilise Logo Agreement dated 23rd March 2007.

4.0 Periodic meetings and three yearly review

To ensure effective relationships as contemplated by this MoU, requisite senior University officials and Foundations' Trustees and officers shall hold periodic meetings, to foster and maintain productive and collaborative relationships and to ensure open and continuing communications and alignment of priorities.

In line with Charities Services requirements, this MoU shall be reviewed by the Trustees at least every three years and updated as required in partnership with the University.

5.0 Termination of this Memorandum of Understanding

This MoU may be terminated by any party after giving not less than 12 months' notice in writing to the other parties to this MoU.

6.0 Indemnity

The University will formally indemnify the Foundations and their respective Trustees and officers for the time being against liabilities incurred in the exercise of the powers and authorities conferred by and in the management of the Foundations and all trusts, sub-trusts and specific gifts for which the Foundations render services, which provide a benefit to the University, its staff, students or purposes. The terms of such indemnification (and associated notification and other processes and relevant limitations) are set out in a separate Deed of Indemnity signed by the University in favour of the Foundations and their trustees from time to time (**Deed of Indemnity**).

The indemnity under the Deed of Indemnity extends to liability to any person (other than the University or a foundation) for any payments made to any person whom the Foundations believe in good faith to be entitled thereto although it may be subsequently found that the recipient was not in fact so entitled.

SIGNED for and on behalf of
the **University of Auckland** by:



18/03/2025

Vice-Chancellor, University of Auckland

Date



18/03/2025

Chancellor, University of Auckland

Date

9.6

SIGNED for and on behalf of
The University of Auckland Foundation by:

Chair, The University of Auckland Foundation

Date

SIGNED for and on behalf of
The University of Auckland Medical & Health Sciences Foundation by:

Chair,
The University of Auckland Medical & Health Sciences Foundation

Date


Memorandum Internal

Date: 27.11.2025

To: Council

From: Returning Officer CC:

Subject: Election of the student representative on Council

The election of the student representative on Council for 2025 is now complete and Ms Sunisha Dugar has been elected for a term starting on 1 November 2025 and ending 31 October 2027.

KEY DATES

Event: Council election	Date
Nomination process opened	Monday 1 September 2025 at 12noon
Nomination process closed	Monday 22 September 2025 at 12noon
Election voting opened	Tuesday 7 October 2025 at 12noon
Election voting closed	Tuesday 14 October 2025 at 12noon

Summary of votes

Candidate	Total number of votes received	Percentage of votes received
Sunisha Dugar	264	16.52%
Fa Afuhia Michael Fia	238	14.89%
Samar Singh	169	10.58%
Cho Mau Fung (Jackie)	142	8.89%
Gevargis Thomas	123	7.70%
Shae Hardy	114	7.13%
Shakeel Shamaail	87	5.45%
Xi (Angela) Fang	69	4.32%
Liz Keneti	62	3.88%
Dominic Begic	52	3.25%
Xudong Shen	51	3.19%
Shriya Kelderman	49	3.07%
Steven Harrison	48	3.00%
Aditya Narain Sharma	37	2.31%
Matthew Prance	29	1.81%
Adnan Shahab	27	1.69%
Shama Monjur	23	1.44%
Eirene Lee	8	0.50%
Juanma Poyatos	6	0.38%
Total	1598	

Recommendation: That Ms Sunisha Dugar be appointed as the student representative on Council for a term starting on 1 November 2025 and ending 31 October 2027.

Mrs Adrienne Cleland

Returning Officer