


Council Agenda Part A (Open Agenda) 14.06.2021 Council Room – Level 2 ClockTower, Princes Street 22, Auckland 4:00pm			Page #
1. APOLOGIES	The Chancellor moves that the apologies, be noted .		
2. WELCOME	The Chancellor welcomes Mr Robert McDonald, as the new skills-based appointee		
3. DISCLOSURES OF INTEREST BY MEMBERS	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.	The Chancellor moves that the disclosures, if any, be noted and the action taken be endorsed .	
4. HONOURS/AWARDS	The Queen’s Birthday Honours The Chancellor and Vice-Chancellor will send congratulatory letters to those persons with links to the University.		
5. COUNCIL MEETINGS	5.1 Council, Draft Minutes (Part A), 19.04.2021 and 26.05.2021	The Chancellor moves that the Minutes (Part A), 19.04.2021 and 26.05.2021 be taken as read and confirmed .	7
	5.2 Matters arising from the Minutes (Part A), 19.04.2021 and 26.05.2021 not elsewhere on the Agenda		
6. VICE-CHANCELLOR’S REPORT		The Chancellor moves that the Vice-Chancellor’s Report be noted .	13

7. REPORTS OF COUNCIL COMMITTEES	7.1 AUDIT AND RISK COMMITTEE 7.1.1 Minutes (Part A), 21.05.2021	The Chancellor moves that the Audit and Risk Committee Minutes (Part A), 21.05.2021 be received .	26
	7.2 FINANCE COMMITTEE 7.2.1 Minutes, (Part A), 25.05.2020	The Chancellor moves that the Finance Committee Minutes (Part A), 25.05.2020 be received .	28
	7.3 EQUITY LEADERSHIP COMMITTEE 7.3.1 Mid-Year Report	The Chancellor moves that the Equity Leadership Committee Mid-Year Report be received.	33
8. SENATE MATTERS	8.1 REPORT OF SENATE, 31.05.2021 Part Ai 1: Policy and other matters requiring to be received by Council Part Aii, 1: Policy and other matters requiring Council approval Part B, 1: Matters for noting by Council Part C, 1-2: Matters handled under Delegated Authority	The Chancellor moves that the recommendations in Part A of the Report of Senate, 31.05.2021 be adopted and Parts B and C be noted	35
9. CORRESPONDENCE REFERRED BY THE CHANCELLOR	No items received		
10. OTHER MATTERS FOR DECISION OR NOTING	10.1 SEAL Since the Council meeting on 19.04.2021 the seal has been applied to the following document in accordance with the Council resolution of 18.02.1991: <ul style="list-style-type: none"> Deed of Lease – CLASS Commercials Ltd (Landlord) & The University of Auckland (Tenant) – Unit G01-521 Angelsea Street, Hamilton 	The Chancellor moves that the affixing of the seal to the listed documents be noted .	

	<p>10.2 NAMING POLICY</p> <p>10.2.1 Memorandum from the Vice-Chancellor, 07.05.2021 regarding the amendment of the Naming Policy.</p> <p>10.2.2 Naming Policy - amended</p>	<p>The Chancellor moves that the Memorandum of the Vice-Chancellor, 07.05.2021 be received and Council approve the proposed amendment of the Naming Policy.</p>	<p>38</p> <p>39</p>
<p>11. GENERAL BUSINESS</p>	<p>None</p>		
<p>12. LEAVE OF ABSENCE</p>	<p>(for the meeting of 26.07.2021)</p> <p>Cathy Quinn requests leave of absence for this meeting.</p>		

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), 19.04.2021 & 26.05.2021
Item No. 2.1	The University of Auckland Animal Ethics Committee – annual report and membership report
Item No. 2.2.1	The University of Auckland Human Participants Ethics Committee – membership report
Item No. 2.3.1	Audit and Risk Committee Minutes (Part B), 21.05.2021
Item No. 2.4.1	Finance Committee, Minutes (part B), 25.05.2021
Item No. 2.4.2	Financial Performance and Forecast for 2021
Item No. 2.4.3	Treasury Management, Compliance and Cash Flow Report
Item No. 2.4.4	Long-Term Financial Plan 2021-2030 Progress Report
Item No. 2.5	Honours Committee
Item No. 2.6	Naming Committee
Item No. 4.1	Compensation of Staff Members on Council
Item No. 4.2	University of Auckland Foundation - Appointment by Council
Item No. 4.3	Taumata Teitei Operational Plan
Item No. 4.4	Committee Membership
Item No. 4.5	Estate Strategy

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 Adrienne Cleland, Professors Hosking, Metson and Morrow, Associate Professors Hoskins and Salesa, Andrew Phipps, Simon Neale, Tim Bluett, Pamela Moss, Todd Somerville, Bridget Fitzpatrick, 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.

Council Minutes Part A (Open Minutes) 19 April 2021		
PRESENT:	Mr St John (Chair), Professor Freshwater (Vice-Chancellor), Dr Prasad, Professor Curtin, Ms Newsome, Ms Dawson, Mr Paitai, Mrs Dunphy, Mr Wang, Ms Tarrant, and, remotely via Zoom: Mr Daniell, Ms Quinn	
IN ATTENDANCE:	Professors Morrow, and Metson; Mrs Cleland, Mr Bluett, Mr Brandon and Mrs Verschaeren	
KARAKIA	The meeting was opened with a karakia by the Māori representative on Council, Mr Paitai.	
1. APOLOGIES	None	
2. DISCLOSURES OF INTEREST BY MEMBERS	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. All Council members disclosed that they had an interest in item 2.2 in Part B. It was agreed that these declared conflicts would not preclude the members participating in the discussions and votes.	RESOLVED (Chancellor/Vice-Chancellor): That the disclosures be noted and the action taken be endorsed.
3. CONFERMENT OF DEGREES	With the authority of Council, the Chancellor conferred the degree as per the schedule provided to the meeting.	
4. COUNCIL MEETINGS	4.1 Council, Draft Minutes (Part A), 15.03.2021	RESOLVED (Chancellor/Dr Prasad): that the Minutes (Part A), 15.03.2021 be taken as read and confirmed .
	4.2 Matters arising from the Minutes (Part A), 15.03.2021 not elsewhere on the Agenda. None...	

5.1

<p>5. VICE-CHANCELLOR'S REPORT</p>	<p>The report was taken as read.</p> <p>The Vice-Chancellor, Professor Freshwater made the following comments:</p> <ul style="list-style-type: none"> • This was the first iteration of the new reporting style. The report now included achievements against the priorities for the new University strategy. For the June meeting it will include more information around the KPIs. • Following a meeting in the previous week with the officials from TEC and MOE, it became clear that there would not be any significant increase of international students coming to New Zealand any time soon. However, the University was working hard to get international PhD students and 25% of the 1000 students that Auckland secured as part of the agreed entry into the country. • A positive note was the increase in domestic students and in particular the increase in Māori and Pacific student numbers. It was important to recognise that this was the single largest increase ever in the history of tertiary enrolment in New Zealand. It was therefore highly likely to be unusual and extraordinary. • The consultation about pastoral care that was currently taking place was focusing on principles not on obligations for the University. • Staff and students had been advised on Friday 16.04.2021 of a sexual misconduct case. The University was taking all cases of misconduct and especially cases of sexual misconduct very seriously. The Vice-Chancellor clarified that, once an employee had resigned, it was, at that point, not possible to take any disciplinary action. The University had, however, continued the investigation after the resignation and collaborated very closely with the Auckland University Students' Association (AUSA). The Vice-Chancellor acknowledged everybody who had been working on this on behalf of the University and expressed the deepest regret to anybody who had been negatively impacted by this case. This matter would be further discussed by the Audit and Risk Committee and then return to Council at a later date this year. • A short staff survey had been completed and the results would be communicated during the all-staff forum the following week and to Council at the June meeting. • Work on the Equity function at the University had commenced this week. • This week the Times Higher Education Impact Summit had started. The University of Auckland previously held the first place in the rankings for two years in a row. The outcomes were anticipated later this week. • With the announcement of the trans-Tasman bubble, the University Executive was working on advice for international business travel for its staff. • During the last week, the Executive visited the Ngāti Whātua Ōrākei Marae to discuss the implications of a memorandum of understanding the 	<p>RESOLVED (Chancellor/Mrs Dunphy): that the Vice-Chancellor's Report be noted.</p>
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	<p>University had originally signed in 2003 but needed to be reviewed in context of Taumata Teitei- Vision 2030 and Strategic Plan 2025.</p> <p>In a discussion that followed, Council applauded the new way of reporting.</p>	
6. REPORTS OF COUNCIL COMMITTEES	<p>6.1 STUDENT APPEALS COMMITTEE</p> <p>6.1.1 Report Student Appeals Committee, 19.03.2021</p>	RESOLVED (Chancellor/Ms Newsome): that the Student Appeals Committee report, 19.03.2021 be received and noted .
7. SENATE MATTERS	<p>7.1 REPORT OF SENATE, 29.03.2021</p> <p>Part Aii, 1-2: Policy and other matters requiring Council approval Part B, 1: Matters for noting by Council Part C, 1-2: Matters handled under Delegated Authority</p> <p>This item was presented by the Provost, Professor Morrow. He drew Council's attention to the discussion at Senate about the freedom of expression. A freedom of expression working group had been set up and Chaired by Professor Hunter. The findings of the working group were put to Senate for further discussion. After a robust and productive discussion, the paper of the working group was currently being revised and would be presented at the next meeting of Senate.</p> <p>The Provost also advised Council about new programmes that would be submitted to the Committee on University Academic Programmes (CUAP) in the near future. These included the Bachelor of Communication, (with conjoint options), which was an important initiative of the Faculty of Arts. Other new programmes included a practice component like the Master of Property Practice, Master of Infrastructure Asset Management and Master of Physiotherapy Practice. These programmes were part of the strategic move to provide enhanced study opportunities for people who were already in the workforce, enabling them to change the focus of their careers.</p>	RESOLVED (Chancellor/Ms Tarrant): that the recommendations in Part A of the Report of Senate, 29.03.2021 be adopted , and Parts B and C be noted
8. CORRESPONDENCE REFERRED BY THE CHANCELLOR	No items received	
9. OTHER MATTERS FOR DECISION OR NOTING	<p>9.1 SEAL</p> <p>Since the Council meeting on 15.03.2021 the seal has been applied to the following document in accordance with the Council resolution of 18.02.1991:</p>	RESOLVED (Chancellor/Mrs Dunphy): that the affixing of the seal to the listed documents be noted .

5.1

	<ul style="list-style-type: none"> • Deed Recording Rent Review – Takahe Properties Limited (Landlord) & The University of Auckland (Tenant) – South Auckland Campus, 6 Osterley Way, Manukau 	
10. ELECTIONS – APPOINTMENTS	<p>10.1 ELECTION OF PRO-CHANCELLOR FROM 03.06.2021</p> <p>Nominations were called for the position of Pro-Chancellor.</p> <p>One nomination only was received, for Ms Cathy Quinn (Chancellor/Professor Curtin).</p> <p>There being no other nominations, the Chancellor declared Ms Quinn elected as Pro-Chancellor for a term starting on 03.06.2021 and ending 31.12.2021.</p> <p>Carried by acclamation.</p>	
11. GENERAL BUSINESS	None	
12. LEAVE OF ABSENCE	(for the meeting of 14.06.2021) None requested	

5.1

PUBLIC EXCLUSIONS

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

The general subject of each matter to be considered while the public was 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 considered:

- | | |
|--------------|--------------------------------------|
| Item No. 1.1 | Council Minutes (Part B), 15.03.2021 |
| Item No. 2.1 | EFTS forecast 2021-2022 |
| Item No. 2.2 | Payments to Council members |

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 Adrienne Cleland, Professors Metson and Morrow, Tim Bluett, Anthony Brandon, Pamela Moss 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 will 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 6pm

The meeting went into Public Excluded session at 4.30pm

Approved as a true and correct record.

Scott St John, Chancellor

Date

Council Minutes Part A (Open Minutes) 26 May 2021		
PRESENT:	Mr St John (Chair), Professor Freshwater (Vice-Chancellor), Mr Daniell, Ms Quinn, Professor Curtin , Mrs Dunphy, Mr Wang, Mr Prasad, Ms Tarrant, Ms Newsome	
IN ATTENDANCE:	Mrs Verschaeren	
1. APOLOGIES	Ms Dawson, Mr Paitai	RESOLVED that the apologies be noted .
2. DISCLOSURES OF INTEREST BY MEMBERS	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 s175 of the Education Act 1989.	No further disclosures were made.
3. FAREWELL	This was the last Council meeting for the Chancellor Scott St John. He had joined Council on 14.12.2009, became Chair of Finance Committee in 2013, Pro Chancellor in 2015 and Chancellor in 2017. Council expressed its deepest thanks for Mr St John's dedicated commitment to the University in the last twelve years.	

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 was 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 considered: Item No. 1.1 Appointments to the University Council

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 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 will 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 5.30pm

Approved as a true and correct record.

The meeting went into Public Excluded session at 5.00pm

Cecilia Tarrant, Chancellor

Date

Vice-Chancellors Report to Council | 14 June 2021

General

NZ Budget 2021

The key outcomes in relation to the Tertiary Sector were as follows:

- A 1.2% increase across the board to SAC - \$31.8m in 2022. This is in the context of Government forecasts of 1.7% CPI for 2021 and 2% for 2022, and 1.8% for 2023 (BEFU).
- The forecast SAC allocation just for the university sector rises from an estimated actual of \$1.258 billion in 2020/21 to \$1.3489m in 2021/22 – an increase of \$90m.
- On 1 April 2022, student allowances and the student loan living cost entitlement will increase by \$25 per week – net. This will represent a cumulative \$79 increase from 2017.
- A further \$5.8m for student hardship funding.
- Vocational Education and Training funding increases by 13.4% by 2024 (\$97m per annum)
- Funding in Vote Business, Science, and Innovation suggests small reductions or flat funding for contestable research funding. There are some increases for research institutes – mainly Callaghan Innovation.
- Fees Free payments are forecast to rise from a projected \$375.9m in 2020/21 to \$541,344 in 2021/22.
- Entrepreneurial universities funding was \$9.2m in 2020/21, and is set at \$9.35m in 2022, falling to \$4.359 in 2022/23 and outyears.
- There is no change in CoRES funding and no overall change in PBRF funding (\$303m).
- ROVE itself gets another \$279m. The intention is to make up a long-term imbalance in funding, where vocational education funding increased by only 2.4% between 2014 and 2019, compared with the 11.4% increase to degree level education over the same period.

Auckland Future Now

A resounding theme at the Auckland Future Now economic conference was that the University of Auckland was part of the solution and opportunity for Auckland's future. There were calls for the University to work more closely with business, industry, local government and communities. The conference, hosted by Auckland Council's economic agency Auckland Unlimited, was attended by 260 people with speeches from the Prime Minister Jacinda Ardern, former Prime Ministers Sir John Key and Helen Clark alongside business leaders.

Sexual Harassment on Campus

Further to recent media around the nature of staff-student relationships on University campuses, and the AUT review into harassment and sexual harassment, UEC met to endorse the Action Plan to prevent and respond to Harmful Sexual Behaviour at the University of Auckland. Aspects of our ongoing policy work relate to the draft personal relationships policy; draft sexual harm behaviours policy; development modules for staff and students and reviewing our processes for non-academic student misconduct.

Staff Engagement

The second phase of staff engagement with the Strategy, this time in relation to the operational plan and the immediate priorities, has commenced with a series of meetings with the Faculty and Institute Executives. A series of all staff town halls are planned for June with the aim of sharing initial operational priorities. Meetings have taken place with the Academic Leadership Team, along with a workshop with the Academic Heads Group on the future UoA curriculum. Along with the operational priorities, the town halls will provide the Executive with an opportunity to discuss the results and actions coming out of the recent pulse staff survey.

In May we announced the appointment of our new DVC Strategic Engagement, Dr Erik Lithander, who will commence in post in November. We also hosted our new Provost, Professor Valerie Linton, for a week on campus, as she and her family visited and familiarised themselves with the area. The formal pōwhiri took place for our recently appointed PVC Māori, Te Kawahau Hoskins, who has now commenced in earnest, and the University was pleased to congratulate Professor Dame Cindy Kiro, previously PVC Māori, on her appointment to the role of Governor-General of New Zealand.

The Vice-Chancellor, PVC Maori and PVC Pacific recorded an interview for the new virtual desktop expanding into a 3D world of Auckland and the City Campus, 'Your World-Your Way'.

Distinguished Alumni Awards

On Saturday 29th May, over 550 guests attended (and enjoyed!) the new *Taumata* event - a 'reimagining' of the University's traditional Distinguished Alumni Award Dinner into a lively and inspirational show at the ASB Waterfront Theatre. The event was also taken to a global alumni audience via a live screening.

1. Education and Student Experience

Overview

The forecast EFTS are a result of the March/April forecast processes, incorporate Semester 1 enrolment changes and advice around the opportunities for International students to return to New Zealand. The recently approved international student retention and recruitment measures provide increased confidence about these numbers. Advice on the return of International students is dynamic and subject to variation at short notice, as such our ability to respond rapidly to the changing circumstances remains critical to the retention of students.

Online teaching and the support provided by the China Learning Centres has been key to our recruitment and retention of students in country. 600 of the nearly 3,000 students, including doctoral candidates, identified as studying offshore are in one of three existing Learning Centres. UEC has approved additional overseas learning centres, including one in Vietnam, to open in Semester 2. Retention of International postgraduate students, who are primarily looking for On-Campus experiences, has been less successful than for undergraduate students.

To date around 200 Auckland international students have accepted a place in the Government's border exception process; 100 have either returned or have Managed isolation bookings in time for Semester 2. Several eligible students have chosen not to return due to health or financial concerns, or because they prefer to continue studying online at this time.

2021 Domestic funded EFTS are now close to 2,400 EFTS (9.3%) higher than at the same date last year. Forecasts for 2021 are expected to be revised during the June/July forecast processes to take account of recent changes in the funding classification of some enrolments and the underlying growth. We expect 2021 domestic EFTS growth to be close to fully funded although further applications to TEC may be required to accommodate growth beyond the forecast.

Indicators	Last Year	Current Year			
		To Date (28 May)		End of Year	
	Actual	Target	Actual	Target	Forecast
Total EFTS	34,248	29,273	32,483	33,506	35,539
Domestic Funded	28,826	25,766	28,030	28,971	30,290
International Full Fee	4,990	3,376	4,172	4,168	4,813
% Postgraduate EFTS	25.0%	24.7%	24.5%	25.1%	24.6%

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

EFTS in priority groups

	2020 (29 May)	2021 (28 May)	% Change
Total Māori EFTS	2,120	2,355	11%
Māori School leavers	299	406	36%
Total Pacific EFTS	2,565	2,852	11%
Pacific School leavers	446	608	36%
Total Postgraduate	7,352	7,972	8.4%
Domestic	6,024	6,986	16%
International	1,214	902	(26%)

Progress against priorities

Priority 1: Accessible, equitable lifelong higher education opportunities

Work is underway to launch the initial stages of curriculum transformation aligned with the priorities from the Education and Student Experience Strategy.

Recommendations for enhancing flexible learning options have been developed in co-design workshops with staff and students to inform future delivery plans. User guides and technology improvements have been delivered to support academic staff using digital technology to engage students in learning and teaching. This includes improving zoom capability, interactive content software and user support and the development of resources to support student feedback, online discussions, polling, and collaboration.

Commencing in June, computer-based Semester One examinations will be delivered via Inspira, the University's new cloud-based digital exams service. A total of 639 exams will be delivered online, and a further 22 examinations will be delivered on campus if Covid-19 levels allow.

2. Research and Innovation

Indicators	Last Year	Current Year			
		To Date (30 April)		End of Year	
	Actual	Target	Actual	Target	Forecast
Research revenue (\$M)	225	88	88	249	261

Note: The revenue includes University of Auckland revenue only

Overview

The 2021 Outlook for Research Revenue is in progress and will provide the External Research Funding (ERF) context and assumptions to inform the University's planning cycle.

Progress against priorities**Priority 4: Ambitious research confronting humanity's greatest challenges**

Following completion of the Research Centres and Platforms policy review, work will be undertaken to implement the appropriate policy changes and design a process to select the research centres the University views as strategic to scale up.

A new internal Transdisciplinary Ideation Fund has been established to support cross-faculty and transdisciplinary collaborations that respond to government priorities and major policy issues facing Aotearoa New Zealand.

Priority 3: Relevant, purposeful, impactful research for our communities

Collaboration between the Department of Prime Minister and Cabinet, Universities New Zealand and the Office of the Prime Minister's Chief Science Advisor (OPMCSA) is being strengthened to ensure the two-way flow of knowledge between academia and policy makers.

A cross-University industry engagement working group has been formed to identify ways to strengthen the extent and effectiveness of university-industry collaboration. Work has commenced on developing a baseline understanding of the status of industry engagement with the University, identifying barriers and prioritising focus areas for improvement.

Priority 5: Nurture, recruit and retain outstanding research talent

The key components of the Researcher Skills and Development project are well advanced. An Advisory Panel has been convened under the leadership of Associate DVCR Professor Christa Fouche to advise on the development of an overarching researcher development framework.

A review of the Research Code of Conduct has been initiated to ensure it appropriately reflects the University's values, principles and expectations, our commitment to Te Tiriti o Waitangi and our unique place in Aotearoa and the Pacific. A Reference Group has been convened with Professor Ngaire Kerse as Chair.

Priority 6: A research ecosystem characterised by collaboration, agility, simplicity, engagement, and empowerment

The Research Data Management (RDM) project is well advanced. A new RDM capability maturity model has been developed that incorporates international best practice in FAIR and CARE data principles, and a 'maturity approach' to Māori Data Sovereignty. A stocktake of current maturity has been completed, with findings and associated recommendations to be presented to the RDM Advisory Panel, Māori Data Sovereignty Kāhui and members of the Research Delivery Steering Committee in June.

Improvements to the investment approval process for shared research infrastructure are proving successful. Further refinements will be identified and undertaken in the second half of 2021, as part of a broader programme to improve maturity in research infrastructure planning and operations.

3. Partnerships and Engagement

Overview

We continue to monitor the NZ-China relationship as there is potential for the rapidly changing foreign policy environment to impact on the University's engagement with our Chinese partners and students.

Priority 1: Strengthen and deepen our relationship with tangata whenua

Ngati Whatua Ōrākei leaders and the University Executive met at Ōrākei marae as a step towards renewal of the Kawenata (Covenant) with the University.

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

A strategic engagement strategy is being developed and work is progressing on development of a Public Policy and Impact Institute to support public policy collaboration.

The University has been acknowledged as a high performing United Nations Academic Impact Hub for SDG 4, quality education, and has had its term extended for three years to 2024.

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

The University has been engaging in key conversations about the future of Auckland and how the University, business and government can work more closely together to deliver sustainable strategies to support post-Covid recovery in the region.

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

A new retention and recruitment incentive package, Auckland Advantage, was launched in April, to secure existing international students and attract new students. The package includes initiatives related to learning support, career support, and 'transition to New Zealand' support. A Vietnam study hub pilot is included in the initiatives.

An online Open Day will be held on 29 June following the success of the event hosted in 2020. Nationwide promotion is in place to extend the reach of the event and to encourage participation. Open Day On-campus will take place on 28 August. Māori alumni have contributed to a short video series to encourage Māori school leavers to enrol. The videos will be shown across social media channels.

Priority 5: Diverse student body reflecting our communities

International student recruitment for Semester Two, 2021 is underway with a diversified campaign targeting the China market, as well as virtual student recruitment activity in Vietnam, Malaysia, Sri Lanka, and Singapore.

4. Enabling our People and Culture

Overview

Operational plan activities continue to be scoped and prioritised.

Progress against priorities:

Priority 1: Live our values and purpose

The University level results from the targeted staff experience survey have now been shared with the Executive, Academic Leaders and with staff through the all staff zoom. Planning is underway for a specific all staff zoom session on this topic. The results indicate that staff are concerned about workload and prioritisation. Action planning is underway, both at University and local level. The survey was completed by over 3,300 (almost 60%) staff and focused on how staff have experienced the University's response to COVID-19 and how they feel about working at the University.

The Equity Review Governance group will be providing advice on the recommendations arising from the review of the Equity function at the University. The review was led by an independent consultant and will make recommendations on the leadership, governance, structures and processes necessary to ensure that UoA is well placed to deliver on Taumata Teitei by providing appropriate, effective and consistent equity support for the staff and students.

Priority 5: Aspirational and inclusive leadership

Professor Valerie Linton has been appointed as the inaugural Provost, the senior Deputy Vice-Chancellor of the University with responsibility for leading the academic mission, commencing in July.

Dr Erik Lithander has been appointed to the position of Deputy Vice-Chancellor (Strategic Engagement) | Ihorua (Kōtui Tangata), commencing in November.

5. Our Enabling Environment

Overview

The unplanned increase in student numbers are the main source of the increased actual and forecast revenue. Additional fees and TEC funding are forecast.

Indicators	Last Year	Current Year			
		To Date (30 April)		End of Year	
	Actual	Target	Actual	Target	Forecast
Total revenue (\$M)	1,234	744	850	1,248	1,294
Revenue achieved as a % of budget	95%	100%	114%	100%	104%

Progress against priorities:

Strategic Priority 1: Mana-enhancing services and practices.

We have previously used Customer Journey Mapping to understand the student experience and gather insights that inform initiatives that drive student success and satisfaction. This work has now been extended to include journey mapping for key staff roles, starting with Academic Heads and Principal Investigators. Work is also in progress to refresh the recruitment and transition stages of our existing Māori school leaver student journey.

The Digital Assistant (Chatbot) knowledge base has been extended to include coverage of exam topics for students. Chatbot usage has increased and 'coverage' (the confidence measure that the user's query has been addressed), has increased from 83% to 91% since its launch in March. Further planned improvements include provision of multilingual services for Māori, Pacific and international students, and functionality to support staff queries.

A stand-alone Pacific Library Collection is being established, signalling to our Pacific communities the University's commitment to preserving and enhancing Pacific knowledge and research capacity.

Strategic Priority 2: Efficient, effective, prudent, transparent, and informed operations.

Consultation on the Student Services Function Review (SSFR) was completed in May. The Review Committee met on 26 May to consider the feedback and develop recommendations for University Executive Committee consideration in June. Preparations for a full HR consultation process are in progress, with timing to be confirmed based on UEC's review of the Service Delivery Model feedback.

The focus for Robotic Process Automation (RPA) this quarter has been on knowledge transfer to ensure continuity for existing automations as well as new development. Reporting and resources are being standardised to enable scaling of standard processes and work is underway with the Finance Operations team to build automation capability. Automation of 'Accounts Receivable Invoice Creation' is nearing completion and progress is being made on feasibility of Research Billing re-using automation already developed.

A new project is being rapidly scoped to improve student administration systems, particularly the functionality that supports student recruitment. Key areas of focus are offshore loyalty schemes, the doctoral admission system, and a student complaints case management system. The project is expected to run over the next 18 months with iterative agile releases to provide maximum benefit as quickly as possible.

A Better Kai initiative has been launched with stickers at retailers on campus to help staff and students identify health food options.

Key student engagement and wellbeing activities over this reporting period included:

- A free measles vaccination campaign was conducted with Auckland DHB. 97 MMR vaccines were distributed.
- University Mental Health Day an international campaign, was marked by sharing the voices of students who have found support through reaching out to others, promoting the importance of mental health awareness, acceptance, and support.
- Sexual Assault Awareness Week was held the week of 3 May. The Be Well | Whai Hauora team wore black in accordance with Black Aotearoa's National Day of Action and facilitated 'Creating Cultures of Consent and Respect' workshops for students and student leaders.

The Student Emergency Fund is continuing to be well utilised with \$133k awarded to 156 students, for the period 11 January – 26 May 2021. This fund has been augmented by a TEC Hardship Grant of \$1.2m for the 12 months to 30 June 2022.

Strategic Priority 3: Seamless, effective, and equitable user experiences across social, physical, and digital environments.

MyCDES+ has been launched to support students as they develop their career and employability capabilities. Students have access to range of online resources, including a CV builder, career assessments, interview simulations, industry reports, and e-learning courses. The tool also supports academic staff embed employability components into course curricula.

Strategic Priority 4: A distinctive, capable, and flexible built environment that celebrates our place in Aotearoa New Zealand and the Pacific.

Collaboration on the development of Te Rautaki Tūāpapa, the University's Estate Strategy, is progressing well. Understanding is emerging as to how the strategy will be underpinned by, and support, the Waipapa Framework to inform future decision-making.

Work continues on key building projects:

- The Recreation and Wellness Centre (RWC) received approval to proceed on 31 March 2021. Construction works are programmed for completion in April 2024.
- The Carlaw Park student accommodation project is currently six weeks ahead of the Landlord's programme, with structure near completion and the facade commencing.
- The Business Case for the City Campus Student Hub project is being prepared.
- The MedTech Innovation Quarter Steering Group is developing initiative priorities.
- A Business Case is being prepared for the replacement of the central aquaria at Leigh Marine.
- The detailed design phase of the Building B201 upgrade continues to progress to schedule in parallel with preliminary site and demolition works. A Green Star 6 rating (the highest rating in the Green Star Performance framework) will be targeted making this, the University's most sustainable building.

Strategic Priority 5: A commitment to achieve net-zero carbon status and to publish meaningful metrics of the University's progress towards overall sustainability.

The Net-Zero Carbon Plan is being progressed. The objectives and areas of focus for this plan will be underpinned by the emerging themes arising from both the Estate Strategy and University Sustainability Strategy.

Dawn Freshwater
Vice-Chancellor

Appendix One: University Gifts and Pledges March – April 2021

The following major new gifts and pledges have been received:

- \$2,548,432 from Welcome Leap to support a randomised control trial of early assessment of executive function and dysfunction in children at Liggins;
- \$505,385 from Cancer Society Auckland Northland for the 'Development of Tyrosyl-DNA phosphodiesterase 1 inhibitors for cancer therapy' study at Science and to support the Auckland Cancer Society Research Centre;
- \$450,000 from Kershaw Investments to support research projects at Science;
- \$375,000 from Peter Kraus for a lectureship and MA scholarships in Philosophy at Arts;
- \$326,989 from Cure Kids for research on the impact of different nutritional support approaches in preterm babies on neurodevelopmental outcomes at Liggins; for the 'Improving the lives of children with hydrocephalus' research project at ABI and to develop the 'Parent resource for supporting a young person who is engaging in self harm' at FMHS;
- \$311,712 from the Auckland Medical Research Foundation for the Electrochemical Detection of Toxic Non-transferrin Bound Iron in Human Blood Plasma research project at FMHS, for research into fetal hypoxaemia and fetal growth restriction in sheep at Liggins, and for the AMRF doctoral scholarship at ABI;
- \$270,483 from The Garnett Passe and Rodney Williams Memorial Foundation for research into the efficacy of topical therapy following surgery for patients with chronic rhinosinusitis at FMHS;
- \$250,000 from Hugo Charitable Trust for medical and surgical research at the STAR Centre at FMHS;
- \$250,000 from Leukaemia & Blood Cancer NZ for the Leukaemia & Blood Cancer Research Unit at FMHS;
- \$208,385 from the Neurological Foundation of New Zealand for the NF First Fellowship research into neurodegenerative diseases at FMHS;
- \$150,000 from the Sir Thomas and Lady Duncan Trust for motor neurone disease research at FMHS;
- \$150,000 from Huanjiao Gan for modelling for Covid-19 diagnosis and treatment at ABI;
- \$127,188 from the New Zealand Lottery Grants Board for the 'Refuelling the human heart: boosting cellular energy production to combat heart disease' and the 'Anaesthetists Be Cleaner (ABC)' studies at FMHS;
- \$125,000 from Live Ocean Charitable Trust for kelp research at the Leigh Marine Laboratory at Science;
- \$100,000 from Garth Barfoot for the Manaaki Manawa Centre for Heart Research;
- \$100,000 from Barbara Blake to support the Community Spectacle Scheme in the School of Vision Science at FMHS;
- \$90,852 from the Neurological Foundation of NZ for a study into Charcot-Marie-Tooth disease at FMHS;
- \$81,035 from Perpetual Guardian for William Chick Scholarships;
- \$80,000 from the Ralph and Eve Seelye Charitable Trust for Kupe Leadership Scholarships;

- \$80,000 from the September Giving Trust for Kupe Leadership Scholarships;
- \$77,195 from the Sir John Kirwan Foundation for the Centre for Arts and Social Transformation at EDSW;
- \$75,000 from the Crystal Arts Trust for a Master of Creative Writing scholarship and prize at Arts;
- \$75,000 from the MSA Charitable Trust for the Centre for Informed Futures;
- \$70,000 from The Angus Family Trust for the Dementia Research Clinic at FMHS;
- \$55,833 from The CatWalk Spinal Cord Injury Research Trust for research into treatment of spinal cord injury at FMHS;
- \$50,000 from Ember Korowai Takitini for the development of a digital intervention for the treatment of depression and anxiety at FMHS;
- \$50,000 from the Rotary Club of Newmarket for the NRCF Hauraki Gulf Environment Award;
- \$50,000 from Southlodge Investments Ltd to support research projects at Science; and
- \$US60,000 from Leonid Frants for the John C. Butcher Visiting Scholars Programme at Science.

Chair Approved but not confirmed by the Committee

Audit and Risk Committee MINUTES | PART A
21 May 2021
Council Meeting Room 105-210, ClockTower
08.00am to 10.30am



<p>Present: Jan Dawson (Chair), Dr Rajen Prasad, Rachael Newsome (via Zoom), Cecilia Tarrant, and Scott St John (via Zoom until 9am)</p> <p>In Attendance: Professor Dawn Freshwater, Adrienne Cleland, Tim Bluett, Rachelle Miller, Brent Penrose, Lisa Muller, Anthony Steele, YoonYoung Lee, Jacqui Metcalf, Angus Clark (via Zoom), Stephen Whiteside, James Harper, Sharmaine Naidoo and Professor John Morrow (via Zoom)</p>		
1. Apologies	No apologies were noted.	
2. Disclosures of Interest	No further disclosures were noted.	
3. Minutes of Audit and Risk Committee of 3 March 2021	<p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p>	<p>RESOLVED (Chair Cecilia Tarrant) that the Minutes, Part A, of the Audit and Risk Committee held on 3 March 2021 be taken as read and confirmed.</p>
4. Other Matters for Decision or Noting	No other matters for decision were noted.	
5. Leave of Absence	No leave of absence was requested for the next committee meeting.	
6. Public Exclusions	<p>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:</p> <p>General subject of each matter to be considered:</p> <p>Item No 7.1: Audit and Risk Committee Meeting 3 March 2021, Minutes Part B</p> <p>Item No 7.2: Audit and Risk Committee Meeting 3 March 2021, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Combined Assurance Report</p> <p>Item No 9.0: Health & Safety Programme</p> <p>Item No 10.0: Digital Programme</p>	<p>RESOLVED (Chair Cecilia Tarrant) that the public be excluded from Part B of this meeting AND THAT Professor Freshwater, Mrs Cleland, Mr Bluett, Mrs Miller, Mr Steele, Ms Lee, Mr Penrose, Ms Muller, Mr Whiteside, Mr Harper, Mr Clarke, Professor Morrow, Mrs Naidoo and Mrs Metcalf 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>

7.1

Chair Approved but not confirmed by the Committee

	<p>Item No 11.0: Student Complaints Item No 12.0: Insurance Renewal Item No 13.0: Enterprise Risk Programme Item No 14.0: Independent Review</p> <p>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:</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; 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 08.07am. The meeting closed at 10.34am. Approved as a true and correct record.</p> <hr/> <p>Chair, Jan Dawson Date:</p>		

7.1

Chair Approved but not confirmed by the Committee

Finance Committee MINUTES | PART A
25 May 2021
Council Meeting Room 105-210, ClockTower
08.00am to 10.00am



Present: Michael Daniell (Chair), Scott St John (via Zoom until 9am), Cathy Quinn (via Zoom until 9am), Cecilia Tarrant, Professor Dawn Freshwater, Professor Jennifer Curtin, Catherine Dunphy and Junyi Wang

In Attendance: Adrienne Cleland, Tim Bluett, Jacqui Metcalf, Mudasir Matto, Bridget Fitzpatrick, Pamela Moss and Simon Neale

1. Apologies	John Patai was noted as an apology.	
2. Disclosures of Interest	No further disclosures were noted.	
3. Minutes of Finance Committee of 2 March 2021	<p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p> <p>Minor errors were noted, and minutes updated to reflect this before Chair signing.</p>	<p>RESOLVED (Chair Cecilia Tarrant) that the Minutes, Part A, of the Finance Committee held on 2 March 2021 be taken as read and confirmed.</p>
4. Other Matters for Decision or Noting	No other matters for decision were noted.	

7.2

Chair Approved but not confirmed by the Committee

The following section has been approved for insertion in Part A of the minutes.

It contains the highlights of forecast Financial Performance for 2021.

1.0 Financial Highlights

EFTS / \$000s	2021				2020 Actual	2021 v 2020		2019 Actual	2018 Actual
	Forecast	Budget	var	var %		var	var %		
EFTS									
Undergraduate	26,558	24,950	1,608	6%	25,503	1,055	4%	25,736	25,388
Postgraduate	8,437	8,067	370	5%	8,184	253	3%	8,086	7,950
Other*	543	489	54	11%	562	(18)	(3%)	389	467
	35,539	33,506	2,032	6%	34,248	1,290	4%	34,211	33,805
Domestic	30,182	28,849	1,333	5%	28,697	1,485	5%	28,368	28,346
International	4,813	4,168	645	15%	4,990	(177)	(4%)	5,454	4,993
Other*	543	489	54	11%	562	(18)	(3%)	389	467
	35,539	33,506	2,032	6%	34,248	1,290	4%	34,211	33,805
Revenue									
TEC funding	364,755	356,396	8,358	2%	347,460	17,294	5%	337,382	333,742
Fees	359,908	332,556	27,352	8%	352,745	7,163	2%	351,561	326,486
Research	316,986	299,481	17,505	6%	279,756	37,230	13%	282,890	277,175
Other	252,200	257,048	(4,848)	(2%)	253,737	(1,537)	(1%)	263,393	264,841
Total revenue	1,293,848	1,245,482	48,367	4%	1,233,698	60,151	5%	1,235,225	1,202,245
Expenses									
People	690,868	670,422	(20,446)	(3%)	707,011	16,143	2%	669,181	655,871
Operating costs & leases	431,814	442,363	10,549	2%	397,848	(33,966)	(9%)	371,352	354,573
Depreciation	161,052	162,987	1,935	1%	158,763	(2,288)	(1%)	144,236	133,116
Total Expenses	1,283,734	1,275,772	(7,962)	(1%)	1,263,623	(20,111)	(2%)	1,184,768	1,143,559
Net surplus	10,114	(30,290)	40,404	(133%)	(29,926)	40,040	(134%)	50,457	58,685
Unusual items					71,600	(71,600)		(8,712)	(13,600)
Adjusted net surplus	10,114	(30,290)	40,404	(133%)	41,675	111,640	268%	41,745	45,085
%	0.8%	(2.4%)	3.2%		3.4%	2.6%		3.4%	3.8%
Cash, Debt & Capital									
Operating cash flows	138,472	101,258	37,215	37%	217,203	(78,730)	(36%)	242,445	165,565
Cash & short-term investments	24,570	24,570	(0)	0%	51,552	(26,982)	52%	49,379	77,807
Funding facility	(168,097)	(260,903)	92,806	36%	(137,500)	(30,597)	(22%)	(180,000)	(50,000)
Capital expenditure	243,253	237,193	(6,061)	(3%)	158,654	(84,600)	(53%)	410,668	319,628

*Other EFTS include out of time PhD, Nursing, ICT, and TFC.

Table 1: Financial Highlights

Chair Approved but not confirmed by the Committee

	<p>The key factors contributing to the forecast \$10.1m surplus and the positive variance to the budget of \$40.4m are:</p> <ul style="list-style-type: none"> • Higher International and Domestic student numbers resulting in an incremental \$18.0m International fees and \$9.3m Domestic Fees • An increase in the TEC flexible funding component to 3%, combined with higher domestic student numbers, results in \$8.4m extra TEC funding. • Lower occupancy rates in accommodation combined with other revenue shortfalls result in a \$6.6m adverse contribution for Campus Life. • Reduced demolition costs combined with adjustments for asbestos remedial works provisions in Property services drives a net favourable contribution variance of \$10.3m. <p>The Voluntary Leaving Scheme (VLS) costs are forecast to be in line with the provision of \$40.6m made in 2020. Cost savings are in effect across all Faculties and Service Divisions.</p> <p>Cash Debt and Capital</p> <p>The improvement in Operating Surplus driven by fee revenue converts to a favourable impact on operating cash flows.</p> <ul style="list-style-type: none"> • Net Operating cashflows increase as the budgeted loss becomes a surplus resulting in Operating Cashflows of \$138m and is favourable to budget by \$37m. • Property Services now expect to spend \$181m against a budget of \$174m as the two major multi-year projects gain momentum. The cash outflows associated with investing increase \$4.3m to budget, reflecting increased capital expenditure. • Financing cash inflows represent the interest-free loan drawdowns received as part of the CIP 'Shovel Ready' Government loan. • These factors combine to drive net cash consumption of \$59m, which is \$20m less than the budget. • The year-end loan facility balance (excluding CIP) is forecast at \$168m. This use of the funding facility is down on the \$261m budget, with a favourable opening balance and operating cashflows being the key contributors. <p>Student Enrolments</p> <p>A reforecast of the University's EFTS was completed in late March, capturing Semester 1 enrolments. Assumptions reflected recent insight on border settings and a sector-wide outlook on the recovery of International Students in the wake of Covid-19. The forecast has signalled that overall student numbers will increase in 2021 by 1,290 EFTS or 3.8% on the prior year. This represents a 2,033 EFTS or 6.1% increase on a budget that assumed a decline. All faculties show a favourable EFTS position compared to the 2021 Budget, and except for Arts, all faculties grow year on year. EDSW is the standout growing double digits (+10%) against both metrics.</p> <p>Teaching Activities</p> <p>International fee revenue improves significantly over the 2021 budget by \$18m or 13%. Offshore student enrolments, including those students in the China Learning Centres (CLC), have surpassed expectations, combined with a higher number of 1N students entering directly from secondary schools having stayed in NZ over the summer break.</p>
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Chair Approved but not confirmed by the Committee

	<p>Research and Contracts and Service Income Revenue from externally funded research and contracts is improving after a relatively static past 3 years. The increase in activity is in part catch-up from last year, where lockdowns prevented research from being performed and partly due to accelerated activity of the four Centres of Research Excellence (CoRE) that the University hosts, which have funding that concludes this year, with any unspent monies required to be returned. The University was successful in the 2020 contestable funding rounds with increases over previous years in awards from the Health Research Council and Marsden Fund. UniServices forecast is \$5.9m ahead of budget, partially due to Covid-19 specific contracts.</p> <p>The 2020 Covid-19 interruption provision of \$11.9m remains in the balance sheet whilst an assessment of the impacted projects is completed. Indications are that the Covid impact may not be as severe as initially anticipated in 2020.</p> <p>University Service Divisions and Infrastructure Occupancy rates resulting from Covid-19 lockdowns and changes to the border assumptions impacting international enrolments result in a \$6.2m revenue shortfall across the accommodation units. Revenue from commercial activities aimed at students is also adversely affected. Cost-saving measures, including accommodation operating costs, reduced the impact of the revenue shortfalls for Campus Life to a contribution shortfall of \$6.5m.</p> <p>The total year-end contribution for Property Services is forecast to be \$14.6m, which is \$10.3m higher than the budget. The reduction in costs is from non-operational and non-discretionary items. These include demolition and asbestos remedial work associated with the B201 development and the Recreation & Wellness Centre and a reduction in depreciation expense.</p>	
<p>5. Leave of Absence</p>	<p>No leave of absence was requested for the next Committee meeting.</p>	
<p>6. Public Exclusions</p>	<p>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:</p> <p>General subject of each matter to be considered:</p> <p>Item No 7.1: Finance Committee Meeting 2 March 2021, Minutes Part B</p> <p>Item No 7.2: Finance Committee Meeting 2 March 2021, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Financial Performance & Forecast for 2021</p> <p>Item No 9.0: Treasury Management, Compliance and Cash Flow Report</p> <p>Item No 10.0: Long-term Financial Plan 2021-2030 Progress Report</p>	<p>RESOLVED (Chair Cecilia Tarrant) that the public be excluded from Part B of this meeting AND THAT Mrs Cleland, Mr Bluett, Mr Matto, Mrs Fitzpatrick, Ms Moss, Mr Neale and Mrs Metcalf 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 the University of Auckland for which those persons are responsible.</p>

7.2

Chair Approved but not confirmed by the Committee

	<p>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:</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; 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 meeting moved into a Public Excluded Session at 08.04am. The meeting closed at 09.27am. Approved as a true and correct record.</p> <p>_____ Chair, Michael Daniell Date:</p>		

7.2

Equity Leadership Committee June 2021 Report to Council

*Ehara taku toa i te toa takitahi engari he toa takitini
Success is not the work of one but the work of many*

This report covers the April Equity Leadership Committee (ELC) meeting and activities of the Equity Office Te Ara Tautika.

Waipapa Taumata Rau framework

Mr Steedman updated ELC members on the Waipapa Taumata Rau framework and its overarching significance in leading the University's Taumata Teitei – Vision 2030 and Strategic Plan 2025; and noted the work in progress to update the existing covenant between Ngāti Whātua Ōrākei and the University.

Student Teaching Evaluations

Following the November ELC meeting discussion where the Equity Community of Interest (ECOI) Co-Chairs raised issues of the impact of Student Evaluations of Teaching (SETs) on women, Māori and equity groups, members were updated on their recent discussion with the PVC Education and Academic Quality Manager. They noted the SET policy is due for review in 2022 and that work would be initiated ahead of that to analyse the University of Auckland SET evaluation data against statistics reported in international research and would bring this information back to ELC. Included in this work would be determining the use of SET scores by the various faculties and LSRIIs in their staff career decisions. The current [TeachWell@UoA](#) framework for teaching at the University of Auckland was also highlighted.

Parental Leave Support for Doctoral Students

The Chair noted issues related to financial support for doctoral candidates on parental leave raised by Dr Caroline Daley, Dean Graduate Studies. She noted the complexities of funding when doctoral students have their scholarships suspended to take parental leave, and regulations around international students' visa status. The Chair identified this as an important gender issue and will proceed with discussions with Dr Daley on the possibility of providing hardship support that is consistent with the boundaries of doctoral provisions.

Student Voice and Engagement

Ms Harirajh, Auckland University Students Association (AUSA) president, updated members on the recently launched Mental Health campaign and acknowledged the wide range of mental health resources already available for students. She advised members that part of her focus is on developing communications to equip students with information on how to look after themselves, manage their time, finances, their health and their workload. Ms Harirajh also noted work in this area through AUSA includes identifying exterior barriers such as bus fares, rentals and fees required on some application forms.

She also noted AUSA have received 40 hardship grant applications and they have administered 10-20 emergency food parcels to April, which exceeds demand in previous years and may be related to limited summer employment opportunities in hospitality.

University of Auckland Statistical Profile 2020

The Chair discussed the University of Auckland Equity Profile 2020 and its significance as a key resource. In 2020, over a quarter of students identified as being Māori or as part of an equity group. Enhanced data collection now enables reporting on students from

rainbow communities, refugee background and low socio-economic background students. Numbers of refugee background and students with disabilities continue to climb. The percentages of Māori and Pacific domestic students have remained relatively stable. Māori and Pacific academic staff numbers have shown small improvements. Senior academic women's representation is increasing, and male and female academic staff proportions are approaching parity at 48%.

Covid-19 meant that, even with immense efforts made by staff, students experienced issues of financial hardship, difficulties with access, a lack of suitable study space and social isolation. Vulnerable students with disabilities and those from refugee and low socio-economic backgrounds or Rainbow groups faced particular complex disadvantages. Staff also faced increased workloads with changes to on-line learning, and challenges of combining work and carer responsibilities.

Despite these challenges, the 2020 data shows that the University continued to make overall progress in reaching student and staff equity goals that align with its strategic objectives.

Members discussed a need for benchmark material from other universities as a useful comparison in promotions data.

Draft Disability Action Plan (DAP)

Dr O'Neill updated members on the draft Disability Action Plan (an outcome of the 2017-2020 Disability Programme) noting the Tertiary Education Commission (TEC) have released draft guidelines for compulsory disability action plans which have a broad set of expectations. He noted TEC are taking an anti-discriminatory view across a range of areas including in staff recruitment.

Discussions are underway with senior leaders and decision makers across the University to identify roles, responsibilities and accountabilities. Members noted the draft Disability Action Plan will help with the University's submission to the TEC draft guidelines due mid-May.

Review of Equity function in the University of Auckland

The Chair updated members on the Review progress. Noting the key purpose of the Review is to identify structures and processes to ensure the University has an effective and consistent approach to achieving the strategic equity priorities of Taumata Teitei Vision 2030 and Strategic Plan 2025.

An external consultant was engaged, and an Equity Review Governance Group formed. Ms Toft noted that one of the Vice-Chancellor's priorities is to have a comprehensive and effective University equity committee. The process included zoom meetings, face-face interviews, focus groups and written submissions to ensure staff and students, particularly those from equity groups, were able to contribute.

THE UNIVERSITY OF AUCKLAND
MATERIAL FOR COUNCIL FROM
THE MEETING OF SENATE 31.05.2021

PART A:

i) RECOMMENDATIONS FROM SENATE REQUIRING TO BE CONSIDERED/RECEIVED BY COUNCIL REVIEWS

1. Review of the Elam School of Fine Arts – Further Progress Report

This Report was accepted as final response to the Review

Senate 31.05.2021 recommends to Council that it receive the Review of the Elam School of Fine Arts – Further Progress Report as final response to the 2018 Review of the Elam School of Fine Arts

ii) RECOMMENDATIONS FROM SENATE REQUIRING COUNCIL CONSIDERATION/APPROVAL

ACADEMIC MATTERS AND REGULATIONS

1. REGULATION AMENDMENTS

Senate, 31.05.2021 RECOMMENDS that Council approve the following Regulation Amendments:

- a) Regulation amendment 2021/902: Academic Statutes and Regulations – Enrolment and Programme Regulations**
To introduce a Meeting the Academic Māori Language Requirement clause.
- b) Regulation Amendment 2021/906: Academic Statutes and Regulations – General Regulations – Masters Degrees**
 - i) To amend the requirement for Masters students to submit hard copies of theses, research portfolios, dissertations, research projects or research essays.
 - ii) To make digital copies of Masters theses open access.
- c) Regulation Amendment 2021/907: Academic Statutes and Regulations – General Statutes and Regulations – Enrolment and Programme Regulations**
 - i) To revise the Vice-Chancellors Special Powers to be the Provost's Special Powers, and to change the appeal provisions.
 - ii) To realign the appeal provisions for the Academic English Language Requirement and Academic Standing following changes to the University's leadership structure.

- iii) To update the regulations to reflect the introduction of micro-credentials.
 - iv) To update the Rescindment regulation.
 - v) To update the deadlines for Making Changes to Current Enrolment.
 - vi) To update the Academic English Language Requirement regulations.
- d) Regulation Amendment 2021/908: Academic Statutes and Regulations – General Statutes and Regulations – Key University dates – Closing Date for Admissions**
To add non-standard application closing dates for a range of Psychology programmes
- e) Regulation Amendment 2021/909: General Statutes and Regulations – Conferment of Academic Qualifications and Academic Dress Statute 1992**
1. To add a regalia specification for the interfaculty Degree of Master of Engineering Geology (MengGeol)
 2. To add a regalia specification for the Degree of Bachelor of Advanced Science (Honours) (BadvSci(Hons))
 3. To add regalia specifications for the Degrees of Master of Data Science (MdataSci), Master of Environmental Science (MenvSci), Master of Marine Conservation (MmarineCons), Master of Organisational Psychology (MorgPsych), and Master of Wine Science (MwineSci).

PART B: ITEMS FROM SENATE FOR NOTING BY COUNCIL

1. Reports on Leave

Senate 31.05.2021 RECOMMENDS that Council **note** the following research and study leave reports:

Name	School/Department
Associate Professor Clifton, Charles	Civil and Environmental Engineering
Dr Brirdsall, Sally	Curriculum and Pedagogy
Dr Smith, Hinekura	Te Puna Wananga

PART C: MATTERS RECEIVED AND APPROVED UNDER DELEGATED AUTHORITY

1. ACADEMIC MATTERS

Senate, 31.05.2021 advises Council that it approved the following academic matters:

- Education Committee Terms of reference - To add a representative of the Postgraduate Students' Association to its membership
- Entry requirements: proposed changes to: the University of Auckland entry requirements for the Foundation Studies Certificate (study group) and the University of Auckland Certification in Foundation Studies (Up Education)
- New PhD subjects in Public Policy for Arts and Design for Creative Arts and Industries

2. NEW SCHOLARSHIP & AWARD REGULATIONS

Senate, 31.05. 2021 advises Council that the following seven new Scholarship, Award and Prize Regulations were approved:

1. Energy Education Trust Masters Scholarship
2. Frank and Doreen Jones Scholarship
3. Jennie and Arthur Loo First in Family Scholarship
4. Maureen Baker Prize in Gender Studies
5. Evelyn Constance Alexander Scholarship in German
6. James Fawcett New Zealand Herpetofaunal Postgraduate Research Award
7. Emma Waterhouse Award for Women in Natural Sciences



INTERNAL MEMORANDUM

From: Vice-Chancellor

To: Council

Date: 07.05.2021

The wording of the Naming Policy requires changes consequent to the change in Committee structure in 2020.

The following changes are proposed:

- Provost instead of Deputy Vice-Chancellor (Academic)
- Academic Leadership Team instead of Senior Leadership Team
- The clauses related to exclusions for naming are grouped together at the end of the Policy.

I therefore propose that Senate recommend to Council that the Naming Policy be amended as shown in the tracked changes in the version attached.

Naming Policy

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Introduction

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

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.

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](#).

Application

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

This policy is to regulate and provide a framework and guidance 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 [S222-S285](#) of 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 in such form and at such frequencies as the Council, through the Registrar, directs, and not less than twice in each calendar year
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. ~~Sponsorship naming is not included in the delegations to, and responsibilities of, the University Naming Committee which will refer all such applications to the Vice-Chancellor pursuant to the Charitable Gift and Sponsorship Acceptance and Approval Policy~~

~~Naming of Scholarships is subject to clause 12 and also not included in the delegations in this clause~~

~~6.5.~~ The University Naming Committee may only grant naming in recognition of significant contributions to the University as set out in this policy

~~7.6.~~ The University Naming Committee ~~is to~~shall have the following membership:

- The Chancellor (Chair) ex officio
- The Pro-Chancellor ex officio
- The Vice-Chancellor ex officio
- The ~~Deputy Vice-Chancellor (Academic)~~Provost ex officio
- The member of the ~~Senior Academic~~ Leadership Team in whose area the Naming recommendation falls
- Director of Alumni Relations and Development
- One other member of Council appointed by Council

~~8.7.~~ The University Naming Committee will take into account in all naming the matters set out in the purpose of this policy and specifically 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

~~9.8.~~ The University Naming Committee will establish criteria for naming for meritorious service and report such criteria to Council

~~10.9.~~ 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

~~11. The naming of scholarships is delegated by Council to the Vice-Chancellor who may in turn delegate it to the Deputy Vice-Chancellor (Academic)~~

~~12.10.~~ 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

~~13.11.~~ Naming of Scholarships is not included in the delegations in this Policy

~~12. The naming of scholarships is delegated by Council to the Vice-Chancellor who may in turn delegate it to the Provost~~

~~13. **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 ~~which will refer all such applications to the~~ Vice-Chancellor pursuant to the Charitable Gift and Sponsorship Acceptance and Approval Policy~~

Definitions

The following definitions apply to this policy:

Council is the University's governing body which comprises lay, staff and student members

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

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