



AGENDA PAPERS

NOTICE OF COUNCIL MEETING

**Notice is Hereby Given that a Meeting of the Council of Auckland
University of Technology will be held:**

**Board Room, MB 317, 640 Great South Road
AUT South Campus**

On: Monday, 27 May 2024

FROM: 3.30 – 6.00 PM

**Andrea Vujnovich
COUNCIL SECRETARY**



AUCKLAND UNIVERSITY OF TECHNOLOGY COUNCIL

Chancellor	Rob Campbell Appointed by Council
Pro-Chancellor	Sussan Turner Appointed by the Minister of Education
Members	Professor Damon Salesa Vice-Chancellor of the Auckland University of Technology
	Peter Treacy Appointed by the Minister of Education
	Janine Smith Appointed by the Minister of Education
	Sina Wendt Appointed by the Minister of Education
	Alicia Lemmer Appointed by the Auckland University of Technology Student Association
	Leo Foliaki Appointed by Council
	Marama Royal Appointed by Council
	Welby Ings Elected by the Academic Staff of the Auckland University of Technology
	Lani Thomson Elected by the Professional Staff of the Auckland University of Technology

PART A

OPEN AGENDA



COUNCIL PART A OPEN AGENDA

Council Agenda Part A (Open Agenda)

Monday 27 May 2024 at 3.30 pm to be held in the MB 317 Board Room, AUT South Campus

Karakia		
Mihi – Chancellor		
1. Welcome, Apologies and approval of agenda	The Chancellor moves that apologies be noted and that Council approve the assignment of agenda items to Part A and Part B of the Council agenda.	
2. Declaration/Recording of any Interests	2. 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 declarations if any be noted and the action taken be endorsed .
3. Constitutional Matters, Conferment of Degrees, and Policy	3.1 Noting Chancellor delegation – Granting, Rescinding, Revoking and Amending Qualifications – May 2024.	The Chancellor moves that the following be approved : <ul style="list-style-type: none"> • See item 3.1
4. Council Meetings	4.1 (a) Council Meeting Draft Minutes Part A 29 April 2024. 4.2 Matters arising from the Minutes Part A of the Council Meeting, 29 April 2024 not elsewhere on the agenda.	The Chancellor moves that: (a) the Minutes Part A of the Council Meeting held 29 April 2024. be taken as read and confirmed .
5. Vice-Chancellor’s Report	5. Vice-Chancellor’s Report.	The Chancellor moves that the Vice-Chancellor’s Report be received .
6. Chancellor’s Report	6. Chancellor’s Report.	The Chancellor moves that the Chancellor’s Report be received .
7. Reports from Boards, Committees and Working Groups to Council	7. Reports and Minutes from the Academic Board, 29 April 2024.	The Chancellor moves that Reports and Minutes from the Academic Board , 29 April 2024 be received .

<p>8. Health, Safety, and Wellbeing Reports</p>	<p>8. 8.1 Health, Safety and Wellbeing Report April 2024</p> <p>8.2 Health, Safety and Wellbeing Due Diligence Framework</p>	<p>The Chancellor moves that the Health, Safety and Wellbeing Report April 2024 be received.</p> <p>The Chancellor moves that the Health, Safety and Wellbeing Due Diligence Framework be approved.</p>
<p>9. Māori Advancement Report</p>	<p>9. Māori Advancement Report</p>	<p>The Chancellor moves that the Māori Advancement Report be received.</p>
<p>10. Strategic Reports</p>	<p>10.1 Research Update report on the Research Plan – Rautaki Rangahau – 2023-2028 from Deputy Vice-Chancellor, Research, Professor Mark Orams</p>	<p>The Chancellor moves that the Research Update Report from Deputy Vice Chancellor, Research, Professor Mark Orams on the Research Plan – Rautaki Rangahau – 2023-2028 be received.</p>
<p>11. Student Success</p>	<p>11. No report</p>	
<p>12. Correspondence referred by the Chancellor</p>	<p>12. No correspondence.</p>	
<p>13. Other matters arising for decision or noting</p>	<p>13.1 Update from the President of AUTSA.</p> <p>13.2 Update from the Council Member elected by the Academic Staff of the Auckland University of Technology</p> <p>13.3 Update from the Council Member elected by the Professional Staff of the Auckland University of Technology</p>	<p>The Chancellor moves that the Update from AUTSA be received.</p> <p>The Chancellor moves that the Update from the Council member Elected by the Academic Staff of the Auckland University of Technology be received.</p> <p>The Chancellor moves that the Update from the Council member Elected by the Professional Staff of the Auckland University of Technology be received.</p>
<p>14. Items moved from Part B of the agenda to Part A and General Business</p>	<p>None</p>	

PUBLIC EXCLUSIONS

The Chancellor moved that the public be now excluded from Part B of this meeting, and that the following matters be discussed without public disclosure. This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and section 9 of the Official Information Act, as the case may require, which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting AND THAT W Lawson, L Williams, A Vujnovich and R Nottingham be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of the matters to be discussed in the proceedings while the public are excluded. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to these matters because they relate to aspects of the administration of AUT for which those persons are responsible.

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter. The public conduct of each item below would be likely to result in the disclosure of information for which good reason for withholding would exist under section 9 of the OIA identified below.	Ground(s) under section 48(1) LGOIMA for the passing of this resolution
15. Council Meeting Part B of the meeting held on 29 April 2024	s 9(2)(b)(ii), s 9(2)(i), 9(2)(k)	7(2)(f)(i), 7(2)h), 7(2)(i), 7(2)(j)
18. Report from AUT Ethics Committee	s 9(2)(a), 9(2)(b)(ii), s 9(2)(i), 9(2)(g)(i)	s7(2)(a), 7(2)(c), 7(2)(j), 7(2)(F)(i), 7(2)(f)(ii)
22. Other Business	9(2)(a)	7(2)(a)



Part A OPEN AGENDA ITEM	3.1
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Council Agenda Paper

Subject: **GRANTING, RESCINDING, REVOKING AND AMENDING QUALIFICATIONS – MAY 2024**

Date: **16 May 2024**

RECOMMENDATION:

THAT COUNCIL NOTE THAT THE CHANCELLOR HAS EXERCISED A DELEGATION UNDER THE COUNCIL DELEGATION POLICY AND IN ACCORDANCE WITH THE GENERAL ACADEMIC STATUTE AND SECTION 283 OF THE EDUCATION AND TRAINING ACT 2020 TO:

- 1. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MAY MONTHLY CORPORATE CYCLE ON 16 MAY;*
- 2. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MAY OFFSHORE CYCLE ON 16 MAY;*
- 3. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MAY MONTHLY CERTIFICATES ON 16 MAY;*
- 4. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MAY CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 16 MAY;*
- 5. REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE 2024 MAY CORPORATE CYCLE ON 16 MAY.*

The schedules are in supplementary papers.



MINUTES

Council Meeting

Meeting held 29 April 2024 at 3.30 pm

Council Room, City Campus, Wellesley Street, Auckland

PRESENT: R Campbell (Chair), D Salesa, J Smith, P Treacy; L Foliaki; S Wendt (via Teams); W Ings; L Thomson; A Lemmer.

SECRETARY: A Vujnovich, Council Secretary
R Nottingham, Minute Taker

IN ATTENDANCE: W Lawson (Deputy Vice-Chancellor Academic); L Williams (Chief Financial Officer and AVC Finance and Infrastructure); F Henare (Director Health & Safety & Wellbeing) - Item 8.1;

IN APOLOGY: S Turner, M Royal.

PART A OPEN AGENDA

The meeting was opened with a karakia led by the Vice-Chancellor.

1 WELCOME, APOLOGIES AND APPROVAL OF AGENDA ITEMS

Resolved

1. THAT AN APOLOGY FOR ABSENCE FROM S TURNER AND M ROYAL BE RECEIVED.
2. THAT THE ASSIGNMENT OF AGENDA ITEMS TO PART A AND PART B OF THE COUNCIL AGENDA BE APPROVED.

The Chancellor passed on the Council's condolences to the Vice Chancellor following the passing of his aunt and acknowledged the additional pressures this placed upon him.

2 DECLARATION/RECORDING OF INTERESTS

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.

Resolved

THAT THE DECLARATIONS BE NOTED AND THE ACTIONS TAKEN BE ENDORSED.

3 CONSTITUTIONAL MATTER, CONFERMENT OF DEGREES AND POLICY

3.1 Granting, Rescinding, Revoking and Amending Qualifications – March and April 2024

Received

Memorandum for Granting of Qualifications – March and April 2024

Resolved

THAT COUNCIL NOTE THAT THE CHANCELLOR HAS EXERCISED A DELEGATION UNDER THE COUNCIL DELEGATION POLICY AND IN ACCORDANCE WITH THE GENERAL ACADEMIC STATUTE AND SECTION 283 OF THE EDUCATION AND TRAINING ACT 2020 TO:

1. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MARCH AND APRIL MONTHLY CORPORATE CYCLE ON 14 MARCH AND 11 APRIL;*
2. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2024 MARCH AND APRIL CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 14 MARCH AND 11 APRIL;*
3. *RETROSPECTIVELY GRANT A QUALIFICATION TO THE GRADUAND ON THE ATTACHED SCHEDULE BACKDATED TO 22 MARCH 2001;*
4. *REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE MARCH AND APRIL CORPORATE CYCLE ON 14 MARCH AND 11 APRIL.*

4 COUNCIL MEETINGS AND MINUTES OF PREVIOUS MEETING(S)

4.1 Minutes of the previous meeting

Received

Draft Minutes (Part A), of the Council meeting held on 26 February 2024 and Draft Minutes Annual General Meeting (AGM) also held on 26 February 2024

Resolved

1. *THAT THE MINUTES PART A OF THE COUNCIL MEETING HELD ON 26 FEBRUARY 2024; AND*
2. *THE MINUTES OF THE COUNCIL AGM HELD ON 26 FEBRUARY 2024;*
BOTH BE CONFIRMED AS A TRUE AND CORRECT RECORD OF THOSE MEETINGS.

4.2 Matters Arising

There were no matters arising from the Minutes (Part A), of the Council meeting of 29 April 2024 not elsewhere on the agenda.

Council noted that the Council Retreat would be rescheduled, probably for later in the year, once Council membership was more settled.

5 VICE CHANCELLOR'S REPORT

Received

Vice Chancellor's Report

Noted in discussion

- Two Government reviews affecting the tertiary sector and research were significant and would be discussed at agenda item 12;
- Operational effects post the Financial Recovery Programme had subsided, but some further changes would be needed to implement the proposed AUT Strategy and to leverage opportunities from the Government's reviews of the sector and research;
- Management's focus on growing international students, including opportunities where other competitor markets had reduced and Ministerial meeting seeking reduction of visa bureaucracy;
- Management's assurances that AUT's standards of achievement were appropriate;
- Progress would be made on Ki Uta Ki Tai, regardless of whether applications for funding from the Accelerator Learner Fund were successful;
- Resourcing pressure faced by the Student Hub due to higher demand for support by students and over longer periods which had not reduced post Covid, noting a lack of "middle ground" staff to provide counselling and requesting Management report back to Council on this issue;

- Council Members Sina Wendt offered to connect Management with a platform offering online wellbeing tools she was aware of, Ignite;
- AUT had bestowed a posthumous degree.

Resolved

THAT THE VICE-CHANCELLOR'S REPORT BE RECEIVED.

6 CHANCELLOR'S REPORT

Verbal report

- Member Renata Blair had tendered his resignation from Council;
- Council Members appointed by the Minister were being considered by the Minister for reappointment;
- The nominations committee would be formed and recommendations for candidates would be invited from Council, Management and staff, noting skills and experience sought would be assessed once the Ministerial Council appointments had been confirmed;
- How to acknowledge, via Council membership, AUT's locations were situated in the rohe of several different iwi;
- Responsibility and role of Council for the conduct, safety and wellbeing of students, noting Executive had primary responsibility;
- Challenges of maintaining a safe environment for discourse for both staff and students in a climate where student anxiety levels, polarisation of opinions and political protests were all heightened and events escalated rapidly;
- Recent examples of persons seeking to limit free speech but had been managed appropriately in the University's library and not resulted in any physical injury but these were trends that Council needed to monitor closely.

Resolved

1. *THAT THE CHANCELLOR'S VERBAL REPORT TO COUNCIL BE RECEIVED.*
2. *THAT THE RESIGNATION OF RENATA BLAIR AS COUNCIL MEMBER BE ACCEPTED WITH EFFECT FROM 3.30 PM ON 29 APRIL 2024.*

7 PART A – REPORTS FROM BOARD, COMMITTEES AND WORKING GROUPS OF COUNCIL

7.1 Academic Board Report and Minutes, 26 February and 25 March 2024

Received

Academic Board Reports and Minutes, 26 February and 25 March 2024

Resolved

THAT THE ACADEMIC BOARD REPORTS AND MINUTES OF THE MEETINGS HELD ON 26 FEBRUARY 2024 AND 25 MARCH 2024 BE RECEIVED.

8 HEALTH, SAFETY AND WELLBEING REPORT

8.1 Health, Safety and Wellbeing Report, March 2024

Received

Health, Safety and Wellbeing Report, March 2024

Noted in discussion

- Overview of the recent People & Culture Health & Safety korēro at the University's Dangerous Goods Store, which had identified issues raised with Management that would need to be addressed;
- Dangerous Goods Store was accredited by Ministry for Primary Industries, with gaps between audits expected to extend reflecting significant work undertaken over the prior years to improve its management;
- Clarification about the extent of AUT's statutory responsibilities for the health and safety of students was being sought from the regulator;
- Updates on incidents reported in the Health Safety & Wellbeing report.

Resolved

THAT THE HEALTH SAFETY AND WELLBEING REPORT FOR MARCH 2024 BE RECEIVED.

9 TE TIRITI REPORT

No report.

10 STRATEGIC REPORTS

No report

11 STUDENT SUCCESS

No report

12 CORRESPONDENCE REFERRED BY THE CHANCELLOR

Received

Letter from the Ministry for Tertiary Education and Skills dated 12 March 2024 regarding the establishment of a University Advisory Group (UAG)

Noted in discussion

- The broad scope and short timeframe of the two Government reviews which had recently begun were likely to present both risks and opportunity for AUT, noting the terms of reference included topics aligned to AUT's mission and strategy;
- Management's response to the two Government reviews affecting the tertiary sector, involved both a university sector response and ensuring AUT's individual voice and values were heard;
- AUT Students Association had grouped with other student associations and formed a reference group to engage in the process the with UAG;
- Direction of the UAG was uncertain, noting results of a recent Australian tertiary review.

Resolved

THAT THE LETTER FROM THE MINISTER FOR TERTIARY EDUCATION AND SKILLS DATED 27 MARCH 2024 ON THE ESTABLISHMENT OF A UNIVERSITY ADVISORY GROUP BE RECEIVED AND NOTED MANAGEMENT'S ADVICE IN THE APPROACH AND RESPONSE TO BE TAKEN.

13 OTHER MATTERS FOR DECISION OR NOTING

13.1 Update from AUTSA

Verbal Update

- Many students not able to enjoy or access the full range of student experiences and services, often due to necessity to work jobs after class;
- Inadequate financial support for students who have to undertake work placements out of Auckland, due to insufficient number in Tāmaki Makau Rau;
- Student counselling services under pressure with a four-week wait often the norm;
- Implementing student representation across Faculties to enable feedback on courses etc.;
- Students need practical and clear advice delivered on use of generative artificial intelligence (AI) in assignments and class.

Noted in discussion

- Noted a petition had been created regarding payment for student placements, with this a significant educational issue that warranted consideration from Faculties and Deans, though unlikely to result in a singular solution;
- Sandbox AI environment being piloted in the University was private to AUT, but required education to staff and students regarding ethics and integrity;
- Urgency to issue clear guidance on use of AI for staff and students, noting need for speed and usability in communications, and challenges of policy keeping pace with technological change;
- Legal challenges around AI emerging and given speed of developments, Council requested updated on how AUT was handling AI, via the Vice Chancellor update.

Resolved

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA

13.2 Update from Council Member elected by the Academic Staff of AUT

Verbal Update

- Sense of improved stability from current EFTs numbers but concerns about policy changes from incoming Government, including the two Government reviews notified;
- Greater openness and collaboration of AUT management, including in development of the AUT Strategy, was helping to rebuild trust post the FRP;
- Concern about PBRF replacement and its ramifications, including on arts and humanities, but staff willingness to stand up for their views, which included need for AUT research approach to be long term and durable;
- Need to be responsive to rankings to protect the mana of AUT, its degrees and students and opportunity to forge global leadership through being a Treaty-led university.

Noted in discussion

- Management's assurances that there was a rankings strategy with most rankings trending in the right direction;
- Rankings were used by both students and academics use rankings to tell story of their value;

Resolved

THAT THE UPDATE FROM THE COUNCIL MEMBER ELECTED BY THE ACADEMIC STAFF OF THE AUCKLAND UNIVERSITY OF TECHNOLOGY BE RECEIVED.

13.3 Update from the Council Member elected by the Professional Staff of AUT

Verbal Update

- Consultative approach to the AUT Strategy supported by staff, offered chance for new conversations and networking and a sense of making a greater contribution to the University;
- Staff support for the rollout of Te Aronui and greater sense of ease post FRP;
- Strain faced by student support staff managing higher volumes and longer lasting caseloads;

- Echoing earlier discussions, greater clarity and education needed on appropriate use of AI.

Noted in discussion

- Council’s role in relation to AI.

Resolved

THAT THE UPDATE FROM THE COUNCIL MEMBER ELECTED BY THE PROFESSIONAL STAFF OF THE AUCKLAND UNIVERSITY OF TECHNOLOGY BE RECEIVED.

13.4. Disability Action Plan

Received

Disability Action Plan

Noted in discussion

- Acknowledged the significant work undertaken to develop the plan;
- Was a useful and well-conceived document;
- Whether additional reporting to Council on its implementation was required, beyond through the Annual Report.

Resolved

THAT THE DISABILITY ACTION PLAN BE ENDORSED AND COUNCIL BE KEPT UPDATED WITH PROGRESS OF ITS IMPLEMENTATION.

14 GENERAL BUSINESS AND ITEMS MOVED FROM PART B TO PART A

None

RESOLUTION TO EXCLUDE THE PUBLIC

The Chancellor moved that the public be now excluded from Part B of this meeting, and that the following matters be discussed without public disclosure. This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and section 9 of the Official Information Act, as the case may require, which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting **AND THAT** W Lawson, L Williams, A Vujnovich and R Nottingham be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of the matters to be discussed in the proceedings while the public are excluded. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to these matters because they relate to aspects of the administration of AUT for which those persons are responsible.

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter. The public conduct of each item below would be likely to result in the disclosure of information for which good reason for withholding would exist under section 9 of the OIA identified below.	Ground(s) under section 48(1) LGOIMA for the passing of this resolution
15. Council Meeting Part B of the meeting held on 26 February 2024	s 9(2)(b)(ii), s 9(2)(i), 9(2)(k)	7(2)(f)(i), 7(2)(h), 7(2)(i), 7(2)(j)
16. Report from AUT Ventures	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)

17. Report from AUT Millennium	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
18. Report from AUT Ethics Committee	s 9(2)(a), 9(2)(b)(ii), s 9(2)(i), 9(2)(g)(i)	s7(2)(a), 7(2)(c), 7(2)(j), 7(2)(F)(i), 7(2)(f)(ii)
20.1 Draft Minutes of Finance and Audit Committee held on 22 April 2024 & 20.2 Draft Minutes of the People and Culture Committee held on 22 April 2024	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
21 Items moved from part A to Part B	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
22. Other Business	9(2)(a)	7(2)(a)

DRAFT

NO.	COUNCIL MEETING RAISED	ACTION	WHO	STATUS/ TARGET DATE
02		9. Te Tiriti Report <ul style="list-style-type: none"> A Te Tiriti workshop will be scheduled for Council (Note: related to action #7 below). 	Valance Smith - Kaihautu Tiriti	Deferred June - July 2024
03	25 September 2023	10.1 Report on the Research Plan – Rautaki Rangahau - 2023 – 2028 <ul style="list-style-type: none"> Management to provide Council with an update on progress of the Research Plan at six-monthly intervals. 	Mark Orams – DVC Research	Actioned- May 2024
04		11. Student Success <ul style="list-style-type: none"> Management to provide information and metrics on student experience in the next update on Ki Uta Ki Tai to Council. 	Wendy Lawson – DVC Academic	December 2023
05	30 October 2023	4.2 Matters Arising <ul style="list-style-type: none"> Management to work with Council members to develop programme for a Council retreat in early 2024, potentially at North or South Campus. 	Council Secretary	June 2024
07		9 Te Tiriti Report <ul style="list-style-type: none"> Management to develop and diarise Te Aronui training sessions for Council members, dates to be scheduled as soon as possible. (Note: related to action #2 above). 	Valance Smith - Kaihautu Tiriti	June – July 2024
10	4 December 2023	10.1 Pacific at AUT <ul style="list-style-type: none"> Pacific at AUT plan to be presented to Council in 2024 	Jacoba Matapo – PVC Pacific	September 2024



PART A	5
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: **VICE-CHANCELLOR'S REPORT**

Date: **27 May 2024**

RECOMMENDATION:

THAT THE VICE CHANCELLOR'S REPORT BE RECEIVED

At the beginning of this month, we released AUT's new strategy, called Te Kete, which is now available on [Tuia](#) (intranet) and on the [AUT website](#). This significant milestone recognises the culmination of a huge amount of engagement, intellect, and hard work from our AUT community over the last year.

The new strategy, Te Kete, is inspired by our name, Te Wānanga Aronui o Tāmaki Makau Rau, and relates to one of the three baskets of knowledge, Te Kete Aronui. Like the weaved strands of a kete (basket), our strategy reflects the interconnection of our purpose (why we are here and the contribution we make) with what we do (our offer and approach) and how we do it (through responding to our place in the world and through our people and our culture).

Te Kete serves as a roadmap from now to 2030 and beyond, providing a guiding framework to realise our vision of 'enriching lives and creating a better world through technology, learning, and discovery'.

I would like to thank all staff, students, alumni, Council members, partners and external stakeholders for their ongoing dedication and commitment to AUT and for supporting our pursuit of enriching lives and creating a better world.

The New Zealand Government has set up the University Advisory Group (UAG) and Science System Advisory Group (SSAG) to provide advice on the New Zealand university system and the science, innovation, and technology system, respectively. On May 16 AUT hosted Sir Peter Gluckman, who is leading the reviews, for an online discussion with staff about the future of New Zealand's university and science sectors. AUT plays a unique role in New Zealand, and we are looking forward to engaging closely with the two groups to contribute to the future and ensure our commitments as a University of Technology and as a University of Opportunity are understood and supported.

HIGHLIGHTS

- AUT published and launched its new strategy, Te Kete. Staff have been invited to open forums to discuss the new strategy. These forums are taking place from the 28-30 May at all three campuses.
- AUT hosted a launch event on May 9 for the World Indigenous Peoples' Conference on Education (WIPCE) 2025. AUT will play host and the conference is set to take place from 23-27 November 2025.

- AUT's 2023 Annual Report has been submitted to the New Zealand Government and published on our website. Read [here](#).
 - With 100 days until the 2024 Paris Olympic Games, AUT is recognising the many people connected to the University who are supporting NZ's top athletes. AUT is the Official University of the New Zealand Olympic Team. Read [here](#).
 - AUT has been welcomed into an exclusive alliance with 25 other leading hospitality and culinary schools around the globe. Read [here](#).
 - AUT staff and students were welcomed to Rūaumoko marae with a pōwhiri during New Zealand Sign Language Week (6 to 12 May). Rūaumoko marae is the national marae for Māori turi and the wider Deaf community. This was a significant engagement for AUT, as we are the only university in New Zealand to offer New Zealand Sign Language study programmes.
 - AUT Worldwide took place across AUT's three campuses to celebrate the university's cultural diversity and heritage. It's estimated that more than 2000 people attended the event, with over 1500 being AUT students. Read [here](#).
 - AUT supported New Zealand's national Privacy Week (13 May – 17 May), shining a light on the importance of privacy to inform people of their rights under the Privacy Act 2020 and help educate agencies about their responsibilities.
 - The African Staff Friendship Network was re-launched on 22 May after inactivity following the COVID-19 pandemic. The Network connects AUT staff of African heritage and celebrates the diverse history and cultures of the African continent.
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PRIORITY 1: TE TIRITI O WAITANGI

1.1 World Indigenous Peoples Conference for Education 2025

AUT hosted a launch event on May 9 for the World Indigenous Peoples' Conference on Education (WIPCE) 2025. The evening marked the beginning of an exciting journey towards one of the largest and most influential global Indigenous gatherings, set to take place from 23-27 November 2025. WIPCE 2025 will be held in Auckland's New Zealand International Convention Centre (NZICC), delivering an estimated economic impact of more than \$8 million to Tāmaki Makaurau.

AUT's Office of Māori Advancement and Te Ara Poutama successfully bid in 2022 to host the upcoming WIPCE. The movement is returning to Aotearoa after 20 years, last being held in Waikato in 2005 and hosted by Te Wānanga o Aotearoa. WIPCE 2005 had more than 4000 attendees.

The launch event, hosted by the Vice-Chancellor, was a celebration and a powerful prelude to the upcoming conference, which anticipates welcoming influential and inspiring Indigenous leaders. The evening was filled with enriching kōrero, cultural exchanges, and a shared anticipation of the transformative potential of WIPCE 2025.

1.2 Anti-racism Workshop

Delivered by People and Culture, this workshop was held on 11 April in conjunction with Aronui Ora – the professional development program to bring to life or give breath to Te Aronui, our AUT Te Tiriti Framework. 19 people leaders who completed the Te Tiriti and Enacting Aronui Ora modules last year attended. The facilitators are reviewing participants feedback and will make further improvements to the content delivery based on recommendations made by the first cohort.

PRIORITY 2: EXCELLENCE AND EQUITY IN EDUCATION AND RESEARCH

2.1 Research Funding

Te Kāhui Poipoi Rangahau (TKPR) - Research funding activities for April 2024.

External Research Income (ERI) TEC Submission (Source: TechOne)

		NZ Government Contestable (\$)	NZ Non-Government (\$)	NZ Public Sector (\$)	Overseas (\$)	Total (\$)
2017	Unweighted	6,292,624.49	2,154,977.37	2,328,146.21	683,100.96	11,458,849.03
	Weighted	6,292,624.49	4,309,954.74	2,328,146.21	1,024,651.44	13,955,376.88
2018	Unweighted	9,236,190.77	1,172,121.13	3,803,682.01	877,137.52	15,089,131.43
	Weighted	9,236,190.77	2,344,242.26	3,803,682.01	1,315,706.28	16,699,821.32
2019	Unweighted	10,211,710.32	1,245,065.74	3,464,734.56	484,738.87	15,406,249.49
	Weighted	10,211,710.32	2,490,131.48	3,464,734.56	727,108.31	16,893,684.67
2020	Unweighted	11,113,788.50	1,245,497.81	2,814,469.16	562,207.39	15,735,962.86
	Weighted	11,113,788.50	2,490,995.62	2,814,469.16	843,311.09	17,262,564.37
2021**	Unweighted	14,877,971.51	1,054,580.55	2,198,466.58	793,263.90	18,924,282.54
	Weighted	14,877,971.51	2,109,161.10	2,198,466.58	1,189,895.85	20,375,495.04
2022**	Unweighted	16,396,163.03	967,165.92	2,811,532.70	1,026,338.46	21,201,200.11
	Weighted	16,396,163.03	3,868,663.68	2,811,532.70	3,592,184.61	26,668,544.02
2023*	Unweighted	17,987,115.97	960,609.24	2,441,798.21	1,318,086.85	22,707,610.27
	Weighted	17,987,115.97	3,842,436.96	2,441,798.21	4,613,303.98	28,884,655.12
2024	Unweighted					3,207,800.00

Notes:

Unweighted means that ERI is not weighted according to TEC guidelines

* = after Bad Debt adjustment

^ = after Audit adjustment

External funding activity

Ministry of Business Innovation and Employment (MBIE)	<p>Submissions</p> <ul style="list-style-type: none"> Professor Andrew Lowe is working on drafting the full Smart Idea proposal due by Mid-May. <p>Results</p> <ul style="list-style-type: none"> New staff member Fakhru Alam brings with him an MBIE Smart Idea project from Massey University.
Health Research Council (HRC)	<p>Submissions</p> <ul style="list-style-type: none"> No funding round in April. <p>Results</p> <ul style="list-style-type: none"> 2 of the 3 HRC Programme applications have been invited to the next assessment stage - an interview with the Programme Assessing Committee on

	<p>zoom. They are applications led by Professor Denise Taylor and Professor El-Shadan Tautolo. Their teams will be interviewed on 7 and 8 May respectively. The Programme grant funds up to \$5 million per application.</p> <ul style="list-style-type: none"> • 1 of the 2 HRC Emerging Researcher Award applications has received a conditional offer. TKPR is working with PI Associate Professor Liesje Donkin to fulfil the condition. Award sum is \$399,877.00. • 2 AUT led Explorer applications have not been successful. 1 successful proposal where AUT collaborating with Otago as lead.
Government	<p>Submissions</p> <ul style="list-style-type: none"> • 2024 Teaching & Learning Research Initiative (TLRI): submitted 2 AUT EOIs • Education NZ: submitted response to request for proposal (RFP) "International Student Expenditure Survey." • Earthquake Commission: submitted response to RFP 'Identifying the Barriers and Challenges for Māori in Accessing Natural Hazards Insurance Cover'. <p>Results</p> <ul style="list-style-type: none"> • As a result of work done on the existing Ministry of Social Development Prevalence Study of Abuse of Older People, AUT has been awarded an additional \$118,579 to include a disability focus to the study taking the total contract value from \$2.15 million to \$2.268 million.
Royal Society of New Zealand	<p>Calls</p> <ul style="list-style-type: none"> • Call for nominations of Fellows and Honorary Fellows to be elected to the 2024 round are now open with a closing date of 30 June 2024. Please go to: https://www.royalsociety.org.nz/who-we-are/our-people/our-fellows/fellow-and-honorary-fellow-election-process/fellow-and-honorary-fellow-election-process/
Industry	<p>Results</p> <ul style="list-style-type: none"> • AUT signed a contract with Air New Zealand – principal investigator Stephen Reay
Community	<p>Submissions</p> <ul style="list-style-type: none"> • 2 Cancer Society PhD Scholarship applications submitted. • 1 Waikato Medical Research Foundation Research Grant Application submitted. • 1 Diabetes NZ Research Fellowship application submitted.

PRIORITY 3: ENVIRONMENTAL AND FINANCIAL SUSTAINABILITY

3.1 Financial Performance (detail in Appendix 2)

The year-to-date April net operating surplus is \$13M, which is \$5.9M ahead of budget, reflecting primarily the impacts of the favourable enrolments, salary, and interest savings.

The full-year forecast projects \$11.6M net operating surplus. The forecasted \$4.7M net surplus variance to budget reflects the impact of higher projected domestic and international EFTS than budget, salary savings

from difference in final Union collective ratification, and higher costs to support higher project student numbers.

3.2 Student enrolment update (detail in Appendix 1)

- **Overall, AUT has achieved 95% of its total (domestic and international) 2024 budget**, compared to 91% of the 2023 budget this time last year.
- **Domestic EFTS** are up on the same time last year, due to an increase in both new and returning EFTS. However, there has been some front loading of semester 2 EFTS which is slightly overstating our YoY domestic growth by up to 250 EFTS. The situation will resolve to show a more accurate (and less positive) picture of our EFTS growth over 2023, as semester 2 EFTS settle.
- **International EFTS** continue to recover from the post-COVID low point in 2022, demonstrating two consecutive years of YoY growth since then. China and India remain our top two source countries of international students. Particularly, India is showing strong growth post-COVID.

Summary Table

	Domestic Funded		International Full Fee		Total	
	2024	2023	2024	2023	2024	2023
YTD EFTS	14,861	14,510	2,314	2,023	17,175	16,534
% of target	95%	88%	89%	122%	95%	91%

Bullet points:

Year to Date **Domestic Funded** enrolments (2024, compared to the same time in 2023):

- Total: up 2% (+350 EFTS)
- New to Programme: up 5% (+277 EFTS)
- Returning: up 1% (+73 EFTS)

Year to Date **International Full Fee** enrolments (2024, compared to the same time in 2023):

- Total: up 14% (+291 EFTS)
- New to Programme: up 7% (+70 EFTS)
- Returning: up 22% (+221 EFTS)

Year to Date **Māori Domestic Funded** enrolments (2024, compared to the same time in 2023):

- Total: up 6% (+100 EFTS)

New to Programme: up 16% (+104 EFTS)

Returning: down 0% (-3 EFTS)

Year to Date **Pacific Domestic Funded** enrolments (2024, compared to the same time in 2023):

Total: up 2% (+42 EFTS)

New to Programme: up 6% (+62 EFTS)

Returning: down -1% (-20 EFTS)

Year to Date **Pre-Degree** enrolments (2024, compared to the same time in 2023):

Total: up 9% (+82 EFTS)

New to Programme: up 11% (+75 EFTS)

Returning: up 4% (+7 EFTS)

Year to Date **Undergraduate** enrolments (2024, compared to the same time in 2023):

Total: up 2% (+241 EFTS)

New to Programme: up 2% (+107 EFTS)

Returning: up 2% (+135 EFTS)

Year to Date **Postgraduate** enrolments (2024, compared to the same time in 2023):

Total: up 11% (+341 EFTS)

New to Programme: up 12% (+172 EFTS)

Returning: up 10% (+169 EFTS)

3.3 Admissions

Applicant numbers (domestic and international) continue to increase to historically high levels with 38,500 applicants in the year to date (January to April 2024). We are currently 21% ahead of last year and 27% ahead of 2019 – prior to the COVID-19 pandemic.

3.4 University key performance indicators (detail in Appendix 3)

3.5 Marketing and Recruitment

Brand and Marketing Services – activity report for April 2024.

April has been a reasonably quiet month but not unusual given the start of the semester; along with campaign and recruitment season for 2025 enrolment kicking off.

Overall, there has been a 15% increase in new growth compared to the same period last year. Compared to 2023 International enquiries have increased 55% with much of this increase for postgraduate information. Health, Business and Engineering remain prominent in the subject area of interest.

The Postgraduate Always-On Digital Marketing campaign is currently in market, marking its first complete month of campaign activity in the year. This resulted in a 9% increase in ad clicks compared to March.

Our social media has had a very successful month. The decision to dedicate resources to TikTok content paid off. A viral video has increased our followership by 32%, monthly video views rose to over 6.5M (previously at a maximum of 842,000), and we now have the most viewed and liked video for all NZ universities. The central communications team hosted its first journalist event. In collaboration with the School for Communication Studies, a 'Trust in Media' panel discussion was held, attended by a range of influential journalists.

Official Information Act (OIA) requests are ahead of the same time last year (26 received to date versus 50 for the full year 2023).

The most popular story on TUJA (intranet) was 'settlement reached in Union negotiations/new pay rates' and 'Grammy winner (SZA) welcomed to Ngā Wai o Horotiu marae'.

3.6 Places and Spaces

During this period, the Estates Group focused on the following key activities:

- Project delivery including A1 Project and Capital Asset Renewal Projects.
- Implementation of the Integrated Workplace Management System (IWMS).
- Lease-related activities for WY and WR Building exits.
- Delivery of normal campus operations.
- Annual benchmarking data gathering.

A1 Project Update

- The Practical Completion date was moved to 9 May 2024. However, this is again under review due to some recent concurrent delays related to Auckland Council inspections.
- The project was within budget and remained ready for opening on 15 July 2024 (S2 start).
- The CPU (certificate of public use) was applied for by Naylor Love with review by Council expected within the early part of May.
- Some key Landscaping works will be opened in early May.
- AUT implementation planning was well underway and staff migration remained on target for June 2024.

3.7 Environmental Sustainability

Key highlights for the period 28 April – 14 May 2024.

- Completed CO2e emissions audit for 2023 data.
- Engaged with senior staff around sustainability and AUT's CO2e emissions, including the Deans, Deputy Vice-Chancellor Research and Deputy Vice-Chancellor Academic.
- Completed sustainability sections of the annual Tertiary Education Facilities Management Association survey.
- A group of staff and whānau planted 400 mānuka seedlings at the North campus on Saturday 11 May.

3.8 Staff diversity statistics (April 2024)

Staff by Occupation

Staff diversity is based on AUT's permanent/fixed-term workforce on the final day of the reporting month (excludes hourly paid and temps on-campus staff).

As at	Academic	%	Professional	%
30 April 2024	1,050	47.8%	1,148	52.2%

Staff by Prioritised Ethnicity and Workforce Type

Prioritised Ethnicity	Academic	%	Professional	%
Māori	88	54.3%	74	45.7%
Pacific	45	31.7%	97	68.3%
Asian	188	35.7%	339	64.3%
MELAA	54	56.3%	42	43.8%
Other	56	47.1%	63	52.9%
European	568	54.6%	473	45.4%
No Declaration	51	45.9%	60	54.1%
Total	1050	47.8%	1148	52.2%

Senior Staff by Gender and Occupation

Gender	Academic	%	Professional	%
Female	616	44.9%	755	55.1%
Male	425	52.5%	384	47.5%
Gender Diverse	6	42.9%	8	57.1%
Not Disclosed	3	75.0%	1	25.0%
Total	1050	47.8%	1148	52.2%

Senior Staff by Gender

Senior Roles - by Gender	Total	Distribution
Female	163	45.2%
Male	193	53.5%

Gender Diverse	2	0.6%
Not Disclosed	3	0.8%
Total	361	100.0%

Senior Māori & Pacific Staff by Gender

Senior Roles - by Gender	Total	Distribution
Senior Women – Māori	14	82.4%
Senior Women – Pacific	3	17.6%
% of Total Women	17	1.4%
Senior Men – Māori	11	73.3%
Senior Men – Pacific	4	26.7%
% of Total Men	15	2.1%
Total Senior Management vs Total AUT	32	1.6%

3.9 People and Culture Work Programme (detail in appendix 4)

3.10 Staff Headcount

- **Permanent Staff:** Overall average headcount for April was 1,964, increasing by 0.5% from March 2024. We have seen a 1.5% increase in headcount between April 2023 and April 2024. While this is a slight increase between 2023 and 2024, it is a 7.5% decrease compared to the same period in 2022.
- For March (1,953) the headcount increased by two between February and March 2024. There remains cautious management of headcount post-financial recovery, having reduced in 2022 (1,953) and 2024 (1,940).
- **Fixed-Term Staff:** There continues to be a decrease in the fixed-term staffing population, having reduced from 321 in April 2022 to 247 in April 2023 (23%), further reducing to 232 in April 2024 (6.5% decrease on the prior April period). There was a marginal increase between February and March of 5% (11 positions). However, the forecast for May and June looks relatively stable.
- **Hourly Paid Staff:** The year-on-year trend for hourly paid follows the same patterns, picking up between semester breaks and summer operations but overall trending downwards. While there are an average of 1,768 hourly paid staff on payroll, only a proportion of these will be working at any one time.
-

3.11 AUT Foundation

- For the period 15 April to 13 May 2024. AUT Foundation has received a total of \$3,585 from 72 donors.
- For the period 1 January to 30 April 2024 (year-to-date), AUT Foundation has received a total of \$944,057.04 from 346 donors.

PRIORITY 4: STUDENT SUCCESS

4.1 AUT International

Key activities for the International Office during this period:

International Partnerships:

- Associate Director Partnerships hosted a delegation from Kewen College of Jiangsu Normal University.
- AUT International along with Faculties hosted a delegation from the University of Macau, and the Deputy Vice-Chancellor Academic signed a university-wide Memorandum of Understanding.

International Recruitment:

- The International Recruitment team attended or hosted 43 events (online and in-person) in April across India, China, Philippines, and New Zealand.

International Relations:

- International Office and Pro Vice-Chancellor Pacific hosted the Commissioner of the Samoa Public Service Commission and her delegation.
- International Office and Deputy Vice-Chancellor Research hosted the Senate Standing Committee on High Education, Science, Research and Innovation and the Senate Standing Committee on Labour from the Royal Thai Government and the Royal Thai Embassy.
- The Vice-Chancellor's Office hosted the European Union Ambassador Lawrence Meredith on 16 May 2024.
- The Vice-Chancellor and Pro Vice-Chancellor Pacific hosted His Highness Tuimaleali'ifano Va'aleto'a Sualauvi II, Head of State of the Independent State of Samoa, Her Highness Masiofo Faamausili Leinafo Tuimaleali'ifano, and a delegation of senior officials on 17 May 2024.

4.2 Student Hub

With the mid-semester break cutting through the month of April and giving students time to focus on the increases they experience to course and assessment demands, there has been a shift in support types and levels across Student Services. As a result, we saw an increase in one-to-one supports, appointment volumes and types, with Special Consideration Applications and Hauora appointments being key. Additionally, it has been a busy time for Visa support and ensuring supports are in place via Academic Accommodation Plans for disabled learners.

In April, 147 students were financially supported, accessing \$61,874.

4.3 Industry Engagement and Employability

The focus in April was preparing for the Social and Community Sector Career Expo formerly known as the Community and Public Sector Career Expo in which fourteen organisations will participate.

Te Whatu Ora presented their legal internship programme to penultimate and final year law students. This was a new engagement and Te Whatu Ora now intend to participate in the law networking evening and career expo in 2025.

The Volunteering Expo 2024 was also delivered in April and was attended by 160 students. This was a very successful event where twelve organisations promoted the work they do in different areas and students volunteered with their organisations as a result.

4.4 Graduate Research School

Key highlights and activities from the Graduate Research School Te Kura Tāura Rangahau.

- **29%** increase in PhD applications compared to the same time last year (source Uni Assist).
 - **49%** Increase in PhD admissions compared to the same time last year.
 - **Aotearoa-specific Researcher Development Framework** is resuming after the recruitment of both a Māori research partner and a Pacific research partner.
 - **New participant recruitment website** has now been finalised, and a call has gone out for projects to publish on the site for its launch.
 - **The 2024 Research Week programme** is in development, and work begun on promotional materials such as a web presence and branded digital displays.
-
- 864 Active doctoral students
 - 53 Doctoral students in examination
 - 56 Active MPhil students
 - 37 Deferred PhD students

PRIORITY 5: MATURING UNIVERSITY SYSTEMS AND PROCESSES

5.1 Learning and Teaching

AUT Online is a strategic initiative aimed at enabling and accelerating AUT’s entry into the fully online-by-design programme market, diversifying and expanding our revenue streams. Dr June Dams has been appointed as the Director AUT Online to write the business case and establish a central business unit (AUT Online) responsible for developing and hosting a new portfolio of online graduate and postgraduate credit-bearing programmes. The initial target market is focused on working professionals who either cannot study on campus or prefer to study online. The first two AUT Online programmes are planned to launch later in 2024, with the first teaching intakes expected in 2025. The aim is that at least 10 online-by-design programmes will be available through AUT Online by 2028.

5.2 ICT

Key activities and outcomes from ICT for this period:











- **Cybersecurity**

	Feb	Mar	Apr
Security Alerts Detected	376	833	1685
Alerts requiring investigation	10	12	20

- **Payment Card Industry (PCI) compliance activities are on track.**
 - Report of Credit Card details detected on Exchange OneDrive & SharePoint completed.
 - Plan for June removal of Credit Card Details before July deadline.
- **ICT Consolidation 2023 savings and benefits:**
 - The focus of the ICT consolidation project across 2023 was on ICT equipment expenditure. This is historically based around equipment leasing cycles with equipment being replaced after 3 years, with Asset managers specifying the equipment required for staff / student needs from AUT’s equipment supplier’s catalogue or under individual quotes for specialist equipment.

- **Several changes have been made to improve the value of equipment procurement during 2023**, namely.
 - Extending equipment lease period from 3 to 4 years.
 - Reduction in range of equipment configurations available for selection.
 - Move to purchasing monitors with a 7-year depreciation period.
 - ICT vetting of equipment catalogue and need to ensure an efficient fit for purpose fleet across the University.
- Three lease cycles were processed during 2023 accounting for 2668 pcs/ laptops and 2298 monitors – equating to about 37% of the total fleet.
- **Calculated savings** to the total investment considering inflation on original investment costs in **2023 is \$1.383 million (\$8.198m to \$6.815m).**
- **Calculated Monthly operating expenditure**, factoring in extended lease periods, finance costs and the move of some equipment from lease costs to depreciation, are **savings of about \$87K / month (\$1.046m/year).**
- **Further benefits** from the consolidation project include.
 - **Improved control over ‘redundant’** equipment (looking to re assign equipment no longer needed for original need to new requirements).
 - **More effective fleet through standardised equipment** configurations that can support wider range of the University’s needs.
 - **Reduction in expenditure on ‘overspeced’ machines** through ICT vetting procedures.
 - Improved asset manager support through ICT suggested replacements as part of the lease cycle.
- **A1 building network implementation and Wi-Fi is on track for Semester 2** opening. Network switches have all been installed and commissioned and are up and running. Wi-Fi is just waiting on some ceiling work to be completed and will be installed in the next few weeks. Hot desk configurations have been applied to Network switches installed and we are just awaiting final testing.
- **NZ Credit Management Pilot** - AUT, together with the University of Auckland and the University of Otago, participated in a simulated proof of concept/pilot project for Credit Management between New Zealand universities, run by the My eEquals organisation in Australia. AUT’s responsibility for this phase (as for the other two participants) was limited to the provision of suitable test data. The next step will be for My eEquals to facilitate the formulation of a business case to progress this to a full information exchange service to be used by universities in Australia and New Zealand. This is unlikely to have system development impacts on participating universities before 2025.
- **Printer Replacement Project**
 - Mid-June we are updating our printer fleet and printer management system to a new version.
 - We are reducing our printer fleet to adhere to **sustainable climate change initiatives**.
 - **Lower carbon emissions reducing the paper usage** and cutting printing costs.
 - **Individual carbon emission totals available for each user**
 - This will affect both staff and students.

• **Key Stats for ICT 1 Jan to 31 Dec 2023**

	31,634 people in our community – staff and students
	300 classrooms and lecture theatres
	7,921 laptops & desktops
	1,303 Wifi Access Points
	250+ business applications supported
	800 Servers and 1.7 PetaBytes of digital storage in production (1PB = 20 Million tall filing cabinets of data)
	32,635 calls through the Service Desks for staff & students
	440 formal and one to one learning sessions with the Digital Enablement team
	Tech Central hours of operation during semester: 8am to 10pm Weekdays, 10am to 6pm Weekends and the technology team are on call 24*7*365
	4,399 Cyber alerts logged 181 Cyber cases investigated 100 verified cyber threats that required an active response

5.3 Student Services

Student Hub efficiency project

Several initiatives have commenced as an outcome of the Hub efficiency project, including the analysis of all enquiries from all channels to identify key themes and categories to determine if FAQs can be developed.

Usage of Student ID Card

Analysis has commenced to look at the use of the physical ID card across the University to explore if we can operate without a physical ID card. This initiative has been paused until the Business Plan is finalised.

Refund form to Online

Work is underway to explore the option of moving the Domestic and International refund and Extraordinary Circumstances manual forms to an online mode.

Appendix 1: Enrolments

2024 EFTS Progress to Target Monitoring Report
Year to Date Compared to Target and Equivalent Date Last Year

Programme EFTS as at 09 May 2024

Student Achievement Component EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	1,431	214	197	419	588	12
Actual	13,430	1,981	1,625	4,516	5,244	44
Total Pending and Actual	14,861	2,195	1,821	4,934	5,832	56

2024 Target	15,564	2,653	1,896	4,991	5,870	120
Progress to Target (%)	95%	83%	96%	99%	99%	47%
EFTS needed to reach 100%	703	458	75	57	38	63
Ahead or behind on this time last year:	Ahead by	Ahead by	Behind by	Ahead by	Behind by	Behind by
	350	82	230	518	8	8
Progress to Target, this time last year (%)	88%	77%	85%	96%	89%	61%
EFTS needed to reach Target this time last year	1,949	642	351	205	700	40
Achieved from this time last year to year end	1,043	483	6	241	286	27

International Full-Fee EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	113	27	29	40	13	0
Actual	2,201	592	458	832	310	2
Total Pending and Actual	2,314	619	486	872	324	2

2024 Target	2,592	828	464	983	303	7
Progress to Target (%)	89%	75%	105%	89%	107%	24%
EFTS needed to reach 100%	278	209	-22	111	-21	5
Ahead or behind on this time last year:	Ahead by	Ahead by	Ahead by	Ahead by	Ahead by	Behind by
	291	10	44	156	75	3
Progress to Target, this time last year (%)	122%	99%	156%	127%	124%	∞
EFTS needed to reach Target this time last year	-360	6	-159	-151	-49	-5
Achieved from this time last year to year end	423	176	39	167	38	2

AUT South Campus	Total	BEL	CSOC	DECT	HEAL	TEAP
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Pending	152	15	17	4	113	1
Actual	1,525	163	178	36	1,127	0
Total Pending and Actual	1,677	179	196	40	1,240	1
2024 Target	1,746	278	200	38	1,194	2
Progress to Target (%)	96%	64%	98%	104%	104%	47%
EFTS needed to reach 100%	70	100	5	-1	-47	1
Ahead or behind on this time last year:	Behind by 35	Behind by 18	Behind by 14	Behind by 1	Ahead by 2	Ahead by 0
Progress to Target, this time last year (%)	103%	4710%	87%	92%	93%	12%
EFTS needed to reach Target this time last year	-46	-193	31	3	93	7
Achieved from this time last year to year end	98	28	-5	2	72	2

Pre-Degree Total EFTS	Total
Pending	101
Actual	840
Total Pending and Actual	941
Ahead or behind on this time last year: Ahead by 82	

Undergraduate Total EFTS	Total
Pending	1,199
Actual	11,869
Total Pending and Actual	13,068
Ahead or behind on this time last year: Ahead by 241	

Postgraduate Total EFTS	Total
Pending	275
Actual	3,215
Total Pending and Actual	3,490
Ahead or behind on this time last year: Ahead by 341	

Doctoral	577
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Māori Domestic SAC EFTS	Total
Pending	121
Actual	1,599
Total Pending and Actual	1,720
Ahead or behind on this time last year: Ahead by 100	

Pacific Domestic SAC EFTS	Total
Pending	235
Actual	2,225
Total Pending and Actual	2,461
Ahead or behind on this time last year: Ahead by 42	

Please Note:

- In 2023, 37 SDR SAC Budget EFTS were not assigned to an academic faculty. As a result, the total budget is 37 greater than the sum of the faculty totals for tables presenting Domestic – SAC Funded, South (SAC) and University totals.
- Returning to programme EFTS defined as all EFTS consumed by students enrolled in the same programme code in a previous calendar year, regardless of progress through programme. EFTS consumed by students who enrolled in any Bachelor of Health Science programme (any programme code ending in '3680') in a previous calendar year and then enrolled in a related programme are also considered to be returning. All other EFTS classified as 'New'.
- Budget EFTS pertaining to South Campus have been identified using the following working definition: Where the teaching school name includes the word 'Manukau', 'Manku', 'South', or 'South', OR the teaching school code is 'VK', 'RO', or 'KO', the Budget EFTS are assumed to relate to South Campus.
- (*) Please note that the 2016 South SAC EFTS target of 1,514 represents the University's internal operating budget, as set by central Finance, rather than the 2016 TEC South Campus target provided in the Funding Letter (1,827).

Appendix 2: Financial Performance – Full year 2023

Financial Performance – Current Year

As at 26 April 2024 (refer item 5.1)

	Year to Date (\$000s)			Full Year (\$000s)		
	Actual	Budget	Variance	Forecast	Budget	Variance
\$000s						
Income	144,119	139,311	4,808	471,430	457,607	13,823
Expense	130,758	131,737	980	458,545	447,657	(10,888)
Surplus before interest	13,361	7,574	5,788	12,885	9,950	2,935
Interest	398	485	86	1,231	2,954	1,723
Net surplus	12,963	7,089	5,874	11,654	6,996	4,658

Comment

The year-to-date April net operating surplus is \$13M, which is \$5.9M ahead of budget, reflecting primarily the impacts of the favourable enrolments, salary, and interest savings.

The full year forecast projects \$11.6M net operating surplus. The forecasted \$4.7M net surplus variance to budget reflects the impact of higher projected domestic and international EFTS than budget, salary savings from difference in final union collective ratification, and higher costs to support higher project student numbers.

	2024 Year-end Forecast		
	FY Forecast	Bank Target	Outcome
Banking Covenants			
Max Net Debt / Net Debt + Equity Ratio	5%	35%	On target
Min Interest Cover Ratio (EBITDA / Interest Expense)	4,374%	150%	On target
Min Guaranteeing Group Cover	97%	90%	On target
TEC Financial Covenants			
Max commercial debt borrowings \$000s	\$43,633	\$220,000	On target
Max aggregate financing \$000s	\$50,936	\$243,000	On target
Max Debt / Debt + Equity Ratio	5%	30%	On target
Max Debt / Net Cash Flow Ratio	0.88	3.00	On target
Max Debt / Total Revenue Ratio	11%	55%	On target
Min Net Surplus Ratio	2.5%	>0.0%	On target
Min Cash Flow from Operation Ratio	114%	114%	On target
Min Interest Cover Ratio (EBIT / Interest Expense)	10.47	Suspended until 2026	
Min Liquidity Ratio	40%	2%	On target

Comment

All Banking covenants and TEC financial covenants are projected to be met in 2024.

Financial Performance 2024 YTD Compared to 2023 YTD

\$000s	Year to Date (\$000s)		
	2024	2023	Variance
Income	144,119	134,995	9,124
Expense	131,156	117,927	(13,229)
Net surplus	12,963	17,068	(4,105)

Higher **year-to-date income** compared to the same period last year is driven by higher international student enrolments this year.

Higher **year-to-date expenses** compared to the same period last year are driven by the timing of the operating costs in 2024.

Overall, the **year-to-date net surplus** is \$4.1M lower than same time last year reflects the net impact of higher international student enrolments and the timing of the operating costs in 2024.

Appendix 3: University key performance indicators – Progress report

University key performance indicators: Progress report

13 May 2024

AUT’s Statement of Service Performance was established as part of Investment Plan 2022-2024. Each KPI relates to at least one of the key themes of *AUT Directions*

- Theme 1 Creating exceptional learning experiences
- Theme 2 Discovery and application of knowledge for wellbeing and prosperity
- Theme 3 Responding to our place in the world
- Theme 4 Building our position as New Zealand’s university of technology
- Theme 5 Being a great place to work and learn

KPIs	Theme(s)	Target 2024	YTD 2024	YTD 2023	Actual 2023	Notes
4. Proportion of bachelors graduates who completed work-integrated learning while studying	1, 4	90%	80%	86%	92%	Relates to graduates from 2024 only; numbers are still relatively small
5. Course completion rate for students from areas with high deprivation scores	1,3	78%	74%	84%	76%	Relates to summer school courses only so numbers are still small
6. Number of quality-assured research outputs	2	Annual increase	407	457	1,964	Below last year
7. Proportion of research-active academic staff	2	Annual increase	29%	31%	58%	Below last year
8. Value of new research contracts signed	2,4	Annual increase	\$10.3M	N/A	\$15.3M	Comparable figures from 2023 not available due to a new system implementation happening at the time
9. Proportion of outputs with an international co-author	2,3	Annual increase	63%	59%	56%	Above last year
10. Ranking amongst NZ universities for field citation ratio	2,4	Top-four placing	Eighth	Third	Third	Based on 2021 publications (used for the 2024 reporting year), AUT’s FCR is 2.20, below the sub-sector average of 2.43
11. Number of media articles using AUT staff as expert voices or highlighting AUT research	2,4	>1,000	412	601	1,439	Below last year but on track for achievement
12. Number of Māori graduates from bachelors degrees	1,3	Annual increase	41	31	324	
13. Number of Māori students in research programmes	2,3	Annual increase	109	110	138	
14. Number of Pacific graduates from bachelors degrees	2,3	Annual increase	50	42	437	
15. Number of Pacific students in research programmes	2, 3	Annual increase	63	64	77	

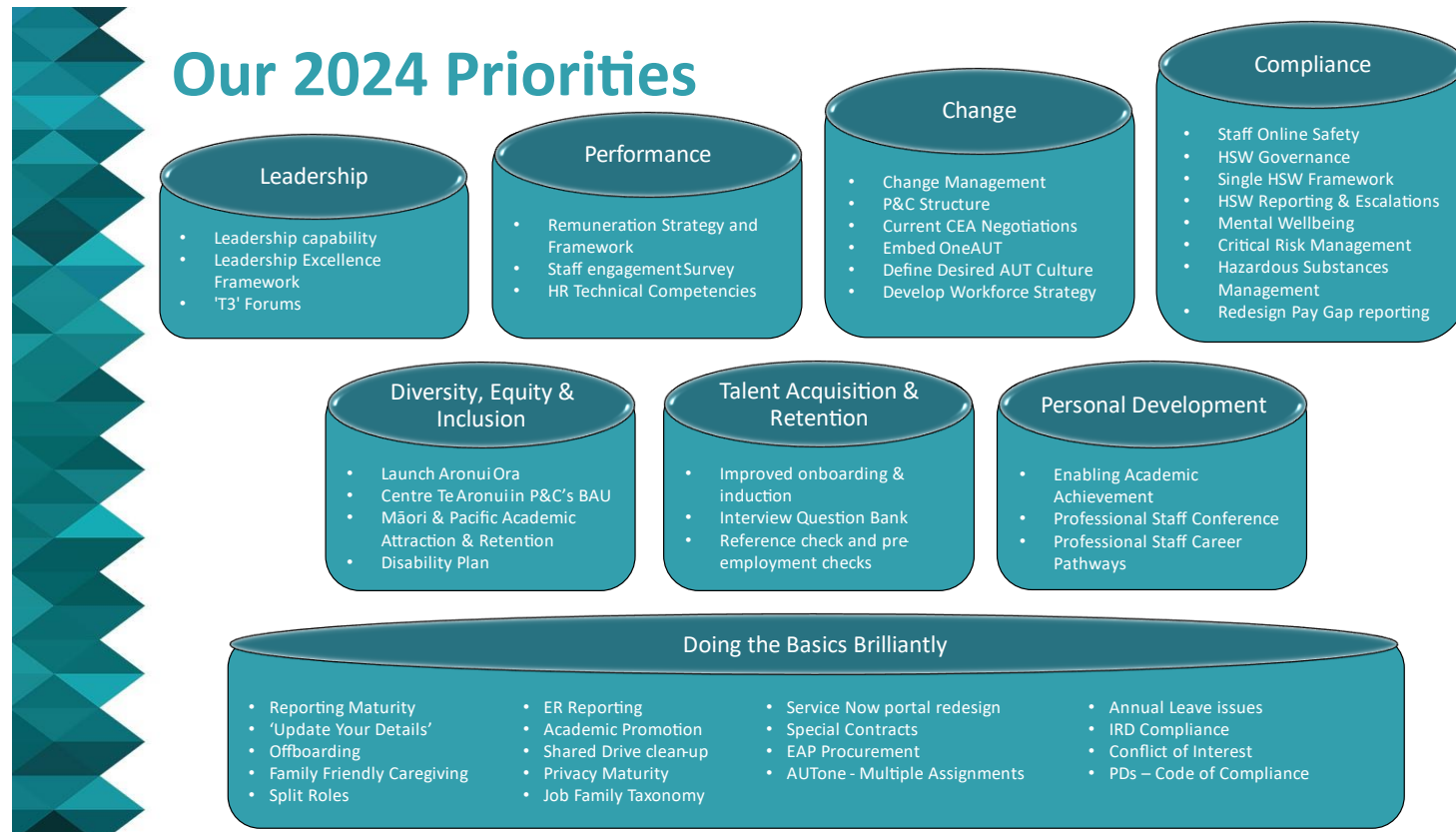
16. Number of EFTS at South Campus	3, 5	Annual increase	1,584	1,583	1,864
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Results still to come

KPI	Theme(s)	Actual 2023	Source	Available
1 Proportion of students who would recommend their programme of study	1	79%	Annual Programme Survey	Annually (December)
2. Proportion of students who are satisfied with teaching quality	1	81%	Annual Programme Survey	Annually (December)
4. Proportion of available graduates who are working full time	1	88%	Annual Graduate Survey	Annually (December)

Appendix 4: People & Culture Business Planning

2024 Work Programme



2025 – 2027 Business Planning

Group Director People & Culture Stephen Davies is leading the business planning process with the People and Culture Lead team. This draft plan will be reviewed with a consolidation lens for other Executive Leadership Team members before the final business plan is agreed.



PART A	6
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: Chancellor's Report

Date: 15 May 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE CHANCELLOR'S VERBAL REPORT



PART A OPEN AGENDA ITEM	7
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Council Agenda Paper

Subject: Report from Academic Board

Date: 15 May 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE ACADEMIC BOARD REPORTS AND MINUTES OF THE MEETING HELD ON 29 APRIL 2024.

The minutes are in supplementary papers.

Academic Board Report to Council

Meeting held 29 April 2024

Strategic Matters and Policy Developments

- **AUT Strategy Update**
The Vice-Chancellor confirmed that the AUT Strategy – Te Kete - would be launched on 1 May. It was noted that there is considerable work ahead as Te Kete is implemented.
- **The University Advisory Group (UAG)**
The Vice-Chancellor provided an initial briefing on the recently convened sector working groups - the University Advisory Group (UAG) and the Science System Advisory Group (SSAG). Details about the groups, including their terms of reference, are available via external websites and [TUJA](#). The importance of engagement with the process and ensuring that the voice of AUT is evident in collective and consistent responses was stressed.
- **Academic Audit**
The [Self-Review Portfolio](#) will be submitted to the Academic Quality Agency on 19 May along with supporting documentation. The work and consultation undertaken in compiling the Self-Review Portfolio was outlined along with the timeline and the framework for the audit. AUT's context was part of an initial conversation between the University and AQA, and is clearly represented in the Self-Review documentation. An overview of the five enhancement initiatives identified by the University was given.

Academic Board endorsed the recommendation that the Academic Audit Self-Review Portfolio is endorsed for consideration and approval by the Vice-Chancellor's Executive.

- **PBRF**
The Deputy Vice-Chancellor Research provided a recap on the PBRF. Given the scope of the UAG includes the PBRF, the Quality Evaluation scheduled for reporting in 2026 has been cancelled and funding continues to be allocated on the basis of the 2018 results. A UAG report proposing relevant policy changes and changes to the current PBRF model is expected in February 2025. The Research Committee and PBRF Steering Group will monitor signals from the UAG and contribute to the review process. Work on improving Research Elements data will continue as accurate recording and reporting are critical for monitoring our research activities.

Committees of Academic Board

- Academic Board approved two proposals for submission to CUAP Round 2 (commencing 1 May):
 - a) Introducing three new specialisations to the Master of Communication Studies and Postgraduate Certificate in Communication Studies (Media Innovation; Communication Leadership; Inclusive Journalism) and replacing the 90-point thesis with a 60-point dissertation.

- b) Significant changes to the Bachelor of Sport and Recreation, including: changing the structure to align with the University's common curriculum architecture for general bachelor's degrees; re-naming the qualification 'Bachelor of Sport, Exercise and Health'; deleting three majors; changing the name of one major; introducing four new minors; and, changing the name of two existing minors.
- Academic Board approved the acceptance of TOEFL Home Edition and IELTS Indicator tests for entry to AUT doctoral programmes except for programmes where professional or accreditation requirements specify IELTS which will remain unchanged.

Other - nil



PART A	
OPEN AGENDA ITEM	8.1

Council
Agenda Paper

Subject: **Health, Safety & Wellbeing Report 2024**
 Date: **May 2024**
 From: **Fred Henare, Director Health Safety and Wellbeing**

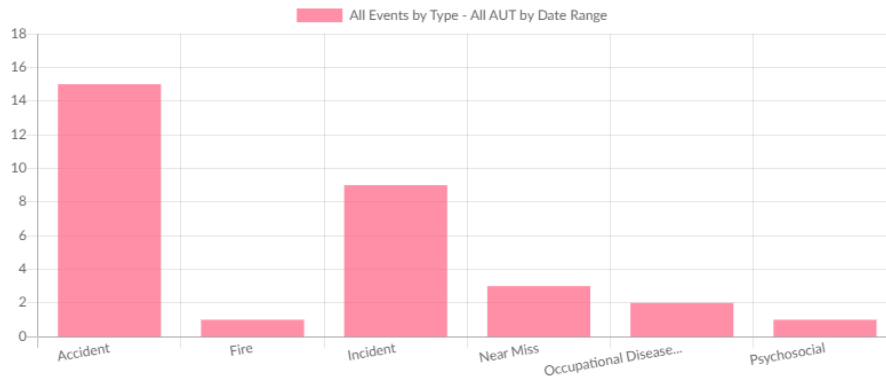
RECOMMENDATION:

THAT THE COUNCIL RECEIVE THE HEALTH, SAFETY & WELLBEING APRIL REPORT

Health, Safety & Wellbeing

HSW Executive Summary

Accident, Incident, and Near Miss Summary



Key HSW Events reported to the Health, Safety and Wellbeing team in April included:

- There was an intoxicated and aggressive member of the public outside the golf swing clinic (AH Building) during a class. AUT security was notified, and the police were called, and they were able to remove the person from the North Campus.
- A student’s lab gown sleeve shrunk due to heat from Bunsen Burner. During COVID, the School of Science started to use disposable gowns, which are susceptible to shrinking and melting when it comes to touching flames. School of Science plans to minimise this issue by working on a cap-ex purchase of enough sets of cotton gowns to return to their pre-COVID system of sending gowns out for laundry.
- A staff member fell while walking through Hikuwai Plaza on a rainy day, fracturing their tailbone. They have received care from their medical provider.

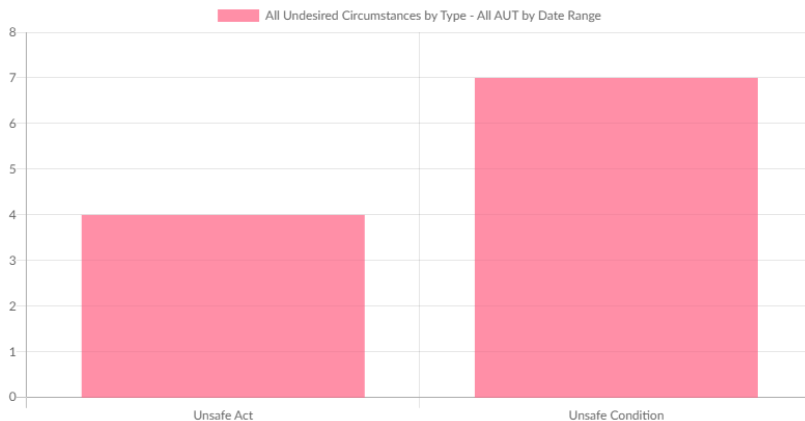
- A staff member exited Gate 3 at North Campus and did not see a cyclist coming up on the left (cycle lane on footpath). As they went, the cyclist hit the left front of their car. They stopped to make sure the cyclist was okay and exchanged contact details. The cyclist had a grazed elbow, and the front of the bike was damaged, but they could walk home with their bike. Estates have advised that they have improved visibility from the gate 3 exit before this accident occurred.

To date, they have:

- Moved the signage back.
- Raised the retaining wall garden and pushed this back.
- Improved the angle of vehicle approach to the Gate 3 exit so that cars now approach at a 90-degree angle rather than 45 degrees to improve driver vision of the footpath.

Following the accident, they have relooked at the Gate 3 exit and are getting a quote to improve the road markings.

Hazards reported Summary



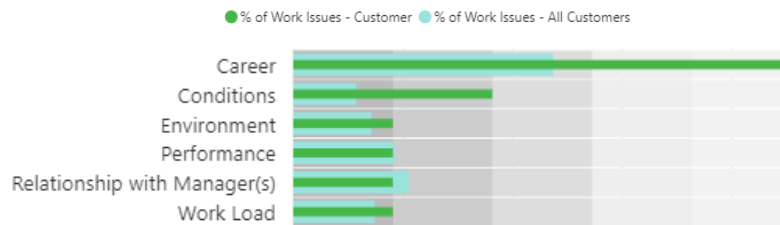
Key hazards reported to the Health, Safety and Wellbeing team in April included:

- School of Science reported rain leaking through the roof into WS604ABC Labs and the lift lobby. They have reported this to Estates so they can investigate what is causing the leaks.
- North Campus Gyms and Stadiums reported cigarette smoke entering the AH building from the Naylor Love break area on the construction site. With assistance from Estates, we contacted the project manager and requested that they move their break area.
- The gym signage outside the AUTSA office in the WC Building got torn during high winds. Estates were contacted, and they removed the sign as there was the potential for this to fall.

EAP work-related support requests comparison to all EAP Customers

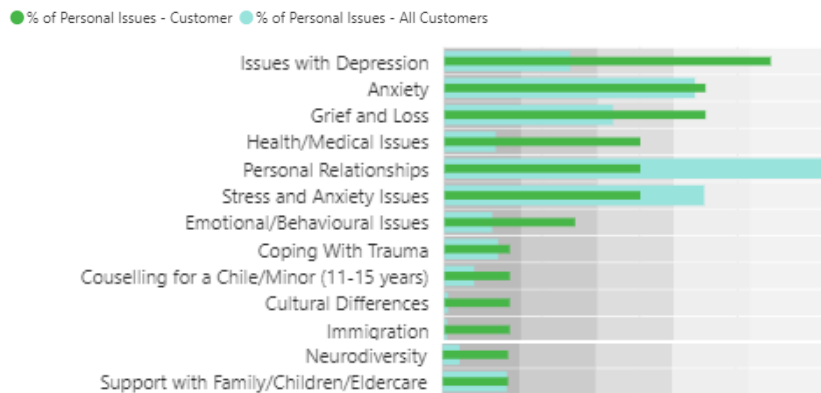
In April, 47 staff members accessed wellbeing support through EAP Services. Of this, 27% sought help for a work-related concern, which was an increase of 18% from March. The below graphs compare AUT's (in green) prime, presenting reasons against all other EAP Services. This shows the main reasons for staff access support were career and conditions, and this was more compared to their other clients.

Work Issue Comparison to All EAP Customers



In April, 73% of staff saw EAP Services for assistance with personal wellbeing concerns. The below graphs compare AUT's (in green) prime, presenting reasons against all other EAP Services. This shows the main reasons for staff access support were for issues with depression, anxiety and grief and loss.

Personal Issue Comparison to All EAP Customers



Future HSW Reporting

Following the presentation of an HSW Governance Framework proposal to the People and Culture Committee of Council last week the intent is to revise future reporting to more closely align with Council (Governance) and ELT (Organisational) responsibilities including but not limited to:

- What HSW education and training has occurred across the organisation?
- What new or critical HSW risks have been identified in the reporting period?
- What is the current state of known HSW resourcing in relation to expected work to be undertaken?
- What is the current state of statutory/regulatory compliance across the organisation?
- What analysis has occurred of HSW data over the last period and what has that told us about the current state of HSW?
- What assurance activities have occurred in the last month?

It is expected that this reporting will be developed over the coming months and be reviewed along with both governance and management HSW arrangements between now and year end.



PART A OPEN AGENDA ITEM	8.2
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Council Agenda Paper

Subject: **Health, Safety & Wellbeing Due Diligence Framework**

Date: **May 2024**

From: **Fred Henare, Director Health Safety and Wellbeing**

RECOMMENDATION:

THAT THE COUNCIL RECEIVE THE HEALTH, SAFETY & WELLBEING DUE DILIGENCE FRAMEWORK REPORT

INTRODUCTION

1. The purpose of this paper is to discuss changes made to workplace health and safety legislation in 2015 with regard to governance and propose a way forward for the Auckland University of Technology (AUT) in ensuring that both the organisation and those with due diligence responsibilities are able to ensure their legal and other duties are met.
2. This paper is divided into three distinct sections that collectively represent the overall approach being suggested to Council that includes:
 - a. A background on the key legislative changes addressing due diligence, why they came about and how they're intended to work.
 - b. A proposed Due Diligence Framework for those considered to hold Officers (of the PCBU) duties for AUT under the Health and Safety at Work Act 2015 and associated regulations that ensures that those duties are instituted, effective, and supported by:
 - c. Engaging the AUT Senior Leaders and Executive to ensure that those duties placed on AUT itself (as a PCBU*) are adequately planned, resourced, implemented, monitored and reported including to Council to enable them to meet their oversight responsibilities.

[* PCBU (Person Conducting a Business or Undertaking) refers to any entity or individual who carries out a business or any other type of work activity.]

Health and Safety at Work Act 2015

The impact of the Pike River Mine Disaster

3. The context for updating NZ health and safety legislation to its current state was due in a large part, to the Pike River Mine Tragedy in November 2010 where an underground methane explosion led to the deaths of 29 miners. The following Royal Commission of Inquiry (2012) identified a host of shortfalls including by the employers involved, the regulatory framework and the regulator responsible for implementing it.

4. Charges were laid by the Department of Labour against Pike River Coal, (the Mine Owner) Valley Longwall International (a Contractor) and Peter Whittall (the Mine Manager). Having entered no plea, receivers for Pike River Coal were ordered to pay \$110,000 to each victim's families and a \$760,000 fine to the Court. In the end, they paid \$5,000 per family and no fine due to the lack of funds. Valley Longwall plead guilty to three charges and having lost three staff, were fined \$46,000. Peter Whittall, the Mine Manager, plead not guilty on 12 charges. These charges were later dropped by the Regulator citing a lack of evidence.
5. Peter Whittall and Pike River Coal then offered \$3.41M as a voluntary payment to families on behalf of Directors and Officers of the company. This arrangement to prevent the laying of charges against Peter Whittall, was later (in 2017) found by the Supreme Court to have been unlawful. The lawyers involved in making the deal were brought before the Law Society (in 2020) for bringing the profession into disrepute.

Model Law

6. To address the accountability and other matters arising from the Pike River Inquiry and the allied Independent Taskforce on Workplace Health and Safety, a raft of changes were made including the establishment of a new regulator WorkSafe, and introduction of the Health and Safety at Work Act 2015 (HSWA) and supporting regulations in 2016. Based on Australian "Model" Health and Safety legislation HSWA brought a number of new concepts including that of duty holders. Four roles were identified as being key with regard to accountability for health and safety. They were:
 - a. PCBU - Person Conducting a Business or Undertaking
 - i. A PCBU is a 'person conducting a business or undertaking'. A PCBU may be an individual person (self-employed) or an organisation like AUT.
 - ii. A PCBU must ensure, so far as is reasonably practicable, the health and safety of workers, and that other persons are not put at risk by its work. This is called the 'primary duty of care'.
 - b. Officer
 - i. An officer is a person who occupies a specified position or who occupies a position that allows them to exercise significant influence over the management of the business or undertaking. This probably includes in the case of AUT, for example, Council members and the Vice Chancellor.
 - ii. Officers must exercise due diligence to ensure the PCBU meets its health and safety obligations.
 - c. Worker
 - i. A worker is an individual who carries out work in any capacity for a PCBU. A worker may be an employee, a contractor or sub-contractor, an employee of a contractor or sub-contractor or a trainee, a person gaining work experience or on a work trial, or a volunteer worker. Workers can be at any level (i.e. managers are workers too).
 - ii. Workers have their own health and safety duty to take reasonable care to keep themselves and others healthy and safe when carrying out work.

d. Others

- i. Examples of other persons at workplaces include workplace visitors and casual volunteers at workplaces. In the case of AUT this could include visiting lecturers or even people transiting through a campus.
- ii. Other persons have their own health and safety duty to take reasonable care to keep themselves and others safe at a workplace.

Health and Safety duty offences in relation to sections 36 to 46 of HSWA

- 7. The most serious offences under HSWA are for failures to comply with health and safety duties under sections 36 to 46 of HSWA. These cover the duties of PCBUs, Officers, Workers and Other persons at workplaces.
- 8. The offences are:
 - a. reckless conduct in respect of duty, without reasonable excuse, that exposes an individual to a risk of death or serious injury or illness (section 47 of HSWA)
 - b. failure to comply with a duty that exposes an individual to a risk of serious injury, serious illness or death (section 48 of HSWA)
 - c. failure to comply with a duty (section 49 of HSWA).
- 9. WorkSafe, as the prosecutor, must prove the offence beyond reasonable doubt.

Offence	Officer of a PCBU or an Individual who is a PCBU (e.g. self-employed)	Individual who is not a PCBU or Officer (e.g. a worker Or other Person at a Workplace)	Anyone else (e.g. an Organisation That is a PCBU)
Section 47 (Reckless conduct in respect of duty that exposes an individual to a risk of serious injury, serious illness or death)	Five years in prison or \$600,000 fine, or both	Five years in prison or \$300,000 fine, or both	\$3 million fine
Section 48 (Failure to comply with a duty that exposes an individual to a risk of serious injury, serious illness or death)	\$300,000 fine	\$150,000 fine	\$1.5 million fine
Section 49 (failure to comply with a duty)	\$100,000 fine	\$50,000 fine	\$500,000 fine

Maximum penalties for health and safety duty offences (Source www.worksafe.govt.nz)

Can Insurance Be Used to Pay Fines or Reparation?

10. Insurance policies cannot be used to pay fines or infringement fees imposed under HSWA. It is an offence to offer or enter into an insurance policy to pay a fine or infringement fee (section 29 of HSWA). The maximum penalties are:
 - a. \$50,000 for an individual
 - b. \$250,000 for any other person (e.g. a company).
11. However, insurance can be used to make reparation payments ordered as part of a sentence by the court.
12. NB. Prosecutions under s.49 do not require identification of any wrongdoing other than the failure of an Officer to have demonstrably met any of their duties under s. 44.

Whakaari White Island Eruption

13. On 9 December 2019 an eruption on Whakaari White Island impacted 47 tourists and tour operators. 22 were killed including two who are still missing but presumed dead and 25 who were severely injured. The subsequent Court case concluded this year with sentencing of those convicted or who have plead guilty.
14. WorkSafe New Zealand laid charges against 13 parties in November 2020 under s.48 HSWA for failings under s.36 (2) of the Health and Safety at Work Act 2015 (HSWA) the Primary Duty of Care to provide a workplace free from harm likely to hurt others. Charges were also laid under s.44 Duty of Officers against each of the three owners of Whakaari White Island. These charges were later dropped due to WorkSafe’s investigation failing to determine their individual duties or whether they acted reasonably as Directors. However, their company Whakaari Management Ltd (WML) was found guilty of failing in their PCBU duty of care.
15. On 1 March 2024, the six remaining parties were sentenced by Judge Thomas. WML was fined NZ\$1.045 million and ordered to pay NZ\$4.88 million in reparations to the victims. WML’s Directors have advised that despite an annual income of \$1M dollars from tourism operations WML has no funds with which to pay the fine or reparations.

Officers Due Diligence Duties s. 44 (4) a - f

16. Officers responsibilities are twofold:
 - a. Firstly, a personal responsibility for ensuring that they themselves gain adequate knowledge about health and safety and the nature of the operations of the organisation and its related risks and,
 - b. Secondly to ensure that the organisation has appropriate resources and processes, reporting and risk management arrangements and verification tools to meet its primary duty of care.

Duty	Example of Good Practice
Acquire, and keep up to date, knowledge of work health and safety matters.	<ul style="list-style-type: none"> • Get general and industry-specific health and safety information from places like WorkSafe, safety publications, safety websites and industry associations. • Obtain independent expert advice where appropriate.
Gain an understanding of the nature of the operations of the business or undertaking of	<ul style="list-style-type: none"> • Review the PCBU’s health and safety risks and how they are controlled.

<p>the PCBU and generally of the hazards and risks associated with those operations.</p>	<ul style="list-style-type: none"> • Talk with workers (e.g. through focus groups, surveys and talking to health and safety representatives). • Consider the health and safety implications and resources needed when making decisions.
<p>Ensure that the PCBU has available for use, and uses, appropriate resources and processes to eliminate or minimise risks to health and safety from work carried out as part of the conduct of the business or undertaking.</p>	<ul style="list-style-type: none"> • Create or review the health and safety budget so resources are available when needed. • Make sure staff have a mix of operational and health and safety expertise to operate the business safely and effectively. • Make sure that the PCBU has processes to control health and safety risks and uses them (e.g. documented 'buy safe' and 'buy quiet' processes for buying plant and equipment).
<p>Ensure that the PCBU has, and implements, processes for complying with any duty or obligation of the PCBU under HSWA.</p>	<ul style="list-style-type: none"> • Decide which people in the PCBU will have health and safety management responsibilities. • Make sure the PCBU has a health and safety management system (reporting notifiable incidents, consultation, acting on improvement notices, training, personal protective equipment, etc) and that everyone complies with it. • Make sure the PCBU has effective worker engagement and worker participation practices
<p>Ensure that the PCBU has appropriate processes for receiving and considering information regarding incidents, hazards, and risks and for responding in a timely way to that information.</p>	<ul style="list-style-type: none"> • Make sure a process is in place for workers and others at the workplace to report incidents, hazards and risks. • Make sure there is a process for responding to information in a timely way and taking action. • Make sure the risk assessment process is thorough, covers all work tasks and workplaces, and that everyone uses it. • Make sure the PCBU has emergency response plans, and that they are regularly tested.
<p>Verify the provision and use of the resources and processes referred to above</p>	<ul style="list-style-type: none"> • Include processes to plan, deliver and review leadership of health and safety in the board charter. • Arrange for a periodic independent review of health and safety systems, processes and resources. • Review health and safety systems and processes after health and safety incidents.

17. The purpose of the Due Diligence Framework is to ensure these duties are met by establishing a framework that requires the PCBU, AUT, through the Vice Chancellor, to implement the series of framework requirements and monitor and report on their progress on a regular basis sufficient to enable Officers to ensure they meet their due diligence obligations.

Primary Duty of Care

18. A PCBU, including AUT, has the 'primary duty of care' – the principal responsibility for people's health and safety at work. It must ensure, so far as is reasonably practicable, the health and safety of:
 - a. Its workers
 - b. Any other workers it influences or directs including contractors or paid visiting lecturers.
 - c. The PCBU must also look after other people who could be put at risk by its work, for example, students, visitors, children and young people, or the public.
 - d. The primary duty of care is a broad, overarching duty. It includes, so far as is reasonably practicable, the PCBU having effective practices in place for providing and maintaining:
 - i. a work environment that is without risk to health and safety
 - ii. safe plant and structures
 - iii. safe systems of work
 - iv. adequate facilities for the welfare of workers at work
 - v. Safe use, handling and storage of plant, substances and structures
 - vi. The provision of information, training, instruction or supervision that is necessary to protect people from risks to health and safety arising from the work carried out
 - vii. That the health of workers and the conditions at the workplace are monitored to prevent illness or injury to workers arising from the work carried out.
19. To meet these expectations AUTs Due Diligence Framework must bring together those strategic Governance level responsibilities held by Council with the organisational responsibilities held by AUT but executed by the Vice Chancellor, Pro Vice Chancellors, Deans of Faculties and Directors of Services including workers and others.

The AUT Due Diligence Framework

20. The AUT Due Diligence Framework is a proactive management tool that will help to foster the careful and systematic identification and assessment of specific workplace hazards and the establishment of control measures to prevent injuries and illnesses at work in line with regulatory requirements.

At the Enterprise level

21. The HSW framework has the following key components:
 - a. HSW Strategy 2024 - 2029
 - b. HSW Management System aligned with ISO 45001 Occupational Health and Safety Standard
 - c. HSW Scorecard including Code of Conduct Unacceptable Behaviour data
 - d. Safety Trend Analysis Reporting
 - e. Event Information Reports
 - f. HSW Induction and training of those with HSW responsibilities including Council, ELT, SLT and others with duties.
 - g. AUT Health, Safety and Wellbeing Group support (and reporting Committees)

Faculty and Business Unit Level

22. Each Faculty and Business Unit have the following responsibilities:
 - a. Faculty and Business Unit HSW Annual Plan
 - b. Appointment of Faculty and Business Unit HSW Coordinator
 - c. Formation or nomination of Faculty and Business Unit HSW Committees/Forums
 - d. Reporting of HSW incidents
 - e. Implementing tailored HSW Management Systems

Risk Based Approach to Due Diligence

23. The Due Diligence Framework recognises that AUT conducts a wide variety of work in a complex and constantly evolving environment. The framework has been designed to be flexible, enabling Faculty and Business Units to decide on the level of scrutiny required. As a result, a one size fits all approach to Due Diligence is not appropriate. To manage this complexity, the framework takes a risk-based approach, focusing efforts where they make the most impact.
24. This risk-based approach requires Faculty and Business Units to make assessments of risk factors at various steps in the process. The responsibility for these judgements' rests with the Faculties and Business Units as they have the best knowledge of the context and environment.

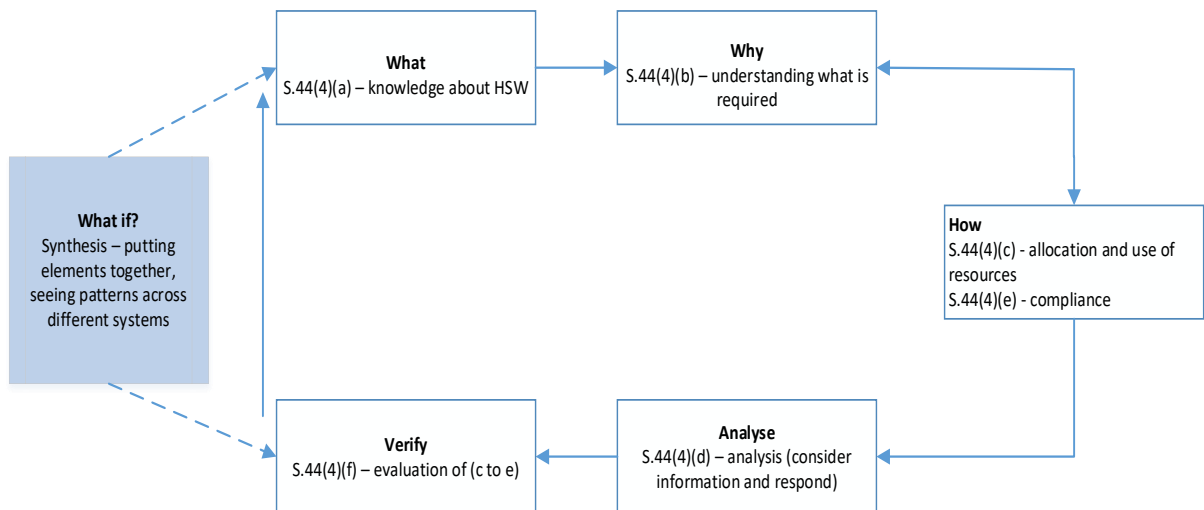
Officer and PCBU Compliance

25. Due diligence requires Officers to take reasonable steps to address each of the definition elements outlined in section 44 of the HSWA 2015. Each of the elements is directed at one or more of the elements of a safety culture and the drivers of safe behaviour.
26. To assist Officers, every person in the workplace needs to understand and comply with their duties set out in the Act and Regulations. Due diligence requires Officers to be proactive in ensuring that AUT complies with its duty.
27. AUT through its Executive and SLT are to identify risks to health, safety and wellbeing in the workplace, including risks identified in the HSW legislation and approved Codes of Practice.
28. As risks are identified, due diligence requires that the PCBU, AUT, address these risks through a properly functioning and well documented organisational health, safety and wellbeing management system which each Faculty and Business Unit will have in place and to close the loop will report progress back through SLT and up to the Council.
29. Compliance with each of the elements of due diligence will mean Officers and the PCBU have a greater understanding of what is needed to effectively manage health and safety risks. This will enable health, safety and wellbeing to enable a more proactive approach.
30. By complying with each of the elements and enquiring into the results, Officers and the PCBU will demonstrate their interest in health and safety which assists with a positive safety culture. The active involvement of managers, supervisors and workers in each of the processes is critical.
31. Officers may meet their due diligence requirements in some respects by proper reliance on information from, and activities of others, while having more direct involvement in health and safety management and governance in other aspects.
32. Where an Officer does seek to rely on others, the Officer must be able to demonstrate the reasonableness of that reliance, which may be demonstrated through the receipt of credible information and advice from appropriate people.

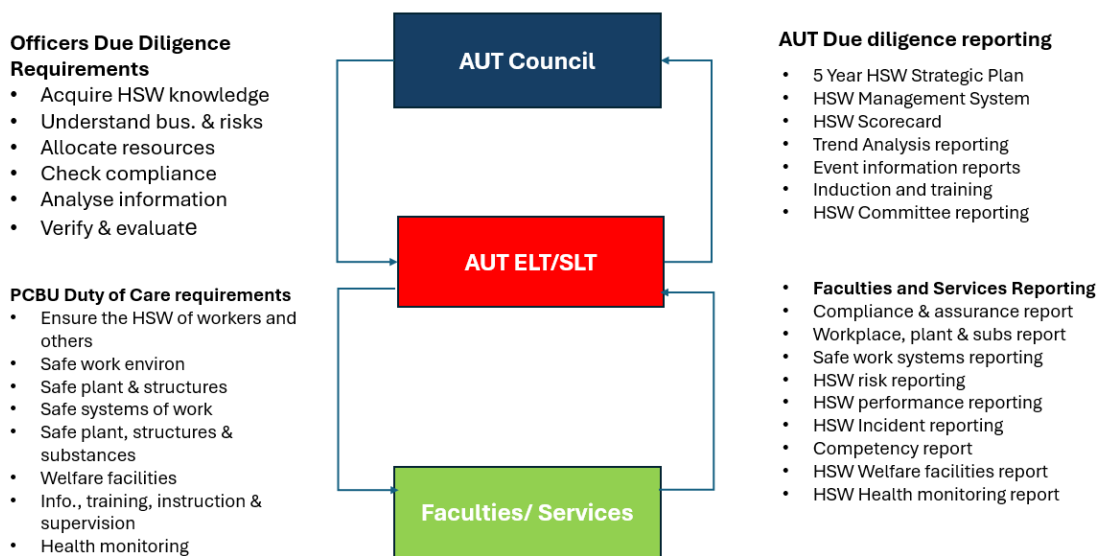
Officer Considerations

- 33. As an officer it should be considered whether:
 - a. The right structure is in place for the business or undertaking
 - b. The right people are in the right place
 - c. There are effective means for information flow and advice
 - d. The right information is available at the right time
 - e. There is a proactive as well as responsive approach to managing work health and safety.
 - f. There is clear designation of responsibility and accountability.
 - g. There is system for regular verification and correction of work health and safety policies and practices.
 - h. There is active engagement across the organisation regarding health and safety matters – lead from the top.
- 31. The intent of the positive duty placed on officers under HSWA (2015) is to ensure engagement and leadership by officer in work health and safety management to prevent injury and illness in the workplace. This supports sustainability and improvement in work health and safety performance and workplace productivity.
- 32. The way in which activities are undertaken, including the ways in which decisions are reached, consultation and risk assessment are undertaken, are critical in supporting an effective due diligence framework.

Elements of Officers Due Diligence in action



The Due Diligence Framework



Follow on Actions

To progress establishment of the Due Diligence Framework the following tasks in support of the broader programme of work in para 21 and 22 and sub paras will be completed with the associated timings

- Drafting of an AUT HSW Strategy/Plan 2024 – 2029 for approval by ELT July 2024
- Draft an AUT HSW Governance Policy describing Councils Due Diligence Framework for consultation by July 24
- Draft for approval by ELT an AUT HSW Management System describing Executive level accountabilities and responsibilities for HSW by July 2024
- Develop AUT HSW Safety Trend Analysis Report for review by ELT by July 2024
- Develop HSW Induction and Training programme for those with HSW responsibilities including Council, ELT, SLT and others with duties for implementation by September 2024
- Develop Draft Terms of Reference for AUT Health, Safety and Wellbeing Committee by July 2024
- Development of a Draft 2025 HSW Plan to progress the broader Enterprise and Faculty / Service requirements by November 2024



Part A	
OPEN AGENDA ITEM	9

Council Agenda Paper

Subject: **MĀORI ADVANCEMENT REPORT**

Date: May 2024

From: **Vice-Chancellor**

RECOMMENDATION:

THAT COUNCIL RECEIVES THE MĀORI ADVANCEMENT REPORT

Māori Advancement Report

1. Aronui Ora

Aronui Ora the professional development programme that empowers staff to give life to and connect with Te Aronui, continued to be successfully delivered during Semester 1. Together with the acting Kaiarahi Te Aronui, People and Culture recruited three new people to further develop and deliver the program in Semester 2 thus, enabling more staff across AUT to begin their Aronui Ora journey. Later in semester 2, the Aronui Ora, Māori leadership programme will be launched. The aims of the Māori leadership programme are to enable participants to:

- Lead from Māori worldview
- Apply te ao Māori approaches
- To translate and apply cultural values to leadership practice.

2. Tangata Whenua Strategic Engagement

We continue to engage with Tangata Whenua and Iwi Māori. Highlights include:

- There was a hui with Ngāti Whatua Orakei CEO and Councillor regarding the new strategy. We have also been working on, at the invitation of Ngāti Whatua, the scope and value of a Kotuitanga.
- There have been a series of engagements with Ngāti Paoa, notably around the A1 building project, and opening.
- Our Kaihoutu Te Tiriti has also had hui with a range of Tainui stakeholders.
- We continue to work with Te Kawerau a Maki, particularly around scoping a potential MoU.
- We have engaged, at their request, Ngāti Rongo Ki Mahurangi.

3. May 2024: Māori Student Update

This summary provides an overview of the following aspects of our Māori student population:

- Student demographics and study choices
- Student performance
- Student satisfaction
- Student outcomes

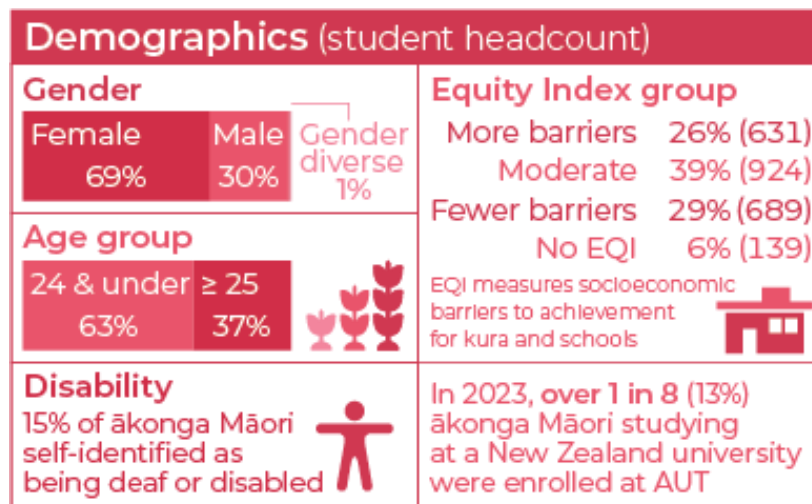
Student demographics and study choices

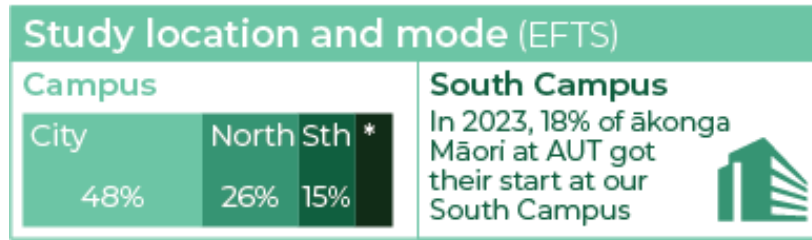
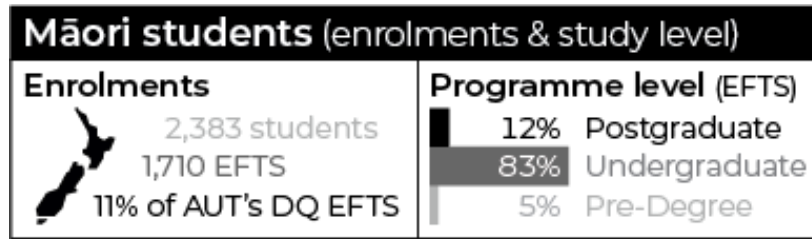
In 2023, AUT had nearly 2,500 Māori students who totalled 11% of the student population. More Māori students are more likely to be aged 25 or older (37% compared with 34% of the general student population), and to be female (69% versus 62%). The largest iwi represented amongst Māori students is Ngāpuhi, followed by Tainui.

Nearly half (45%) of all Māori students were enrolled with the Faculty of Health and Environmental Sciences, with 22% in Design and Creative Technologies, 17% in Business and Law, and the remaining 17% split between Culture and Society (13%) and Te Ara Poutama (4%). Outside of Te Ara Poutama, the faculty with the highest proportion of Māori from its student population was Health and Environmental Sciences at 12%. The five programmes with the largest number of Māori students are the Bachelor of Business, Bachelor of Arts, Bachelor of Health Science (Midwifery), Bachelor of Sport and Recreation, and Bachelor of Health Science (Nursing).

In terms of socio-economic background, Māori are distributed more evenly across the spectrum than some other groups, including Pacific peoples. School equity index data shows that just over a quarter (26%) of all Māori school leavers came from schools with the most socio-economic barriers to achievement, with a similar proportion coming from schools with the least number of barriers (29%). A similar pattern is visible for older students; a quarter (25%) of non-school leavers come from areas with high deprivation scores, while 26% come from areas with low deprivation scores.






Around 15% of ākonga Māori report having a disability, with learning disabilities, chronic medical conditions, and mental health conditions being the most prevalent.



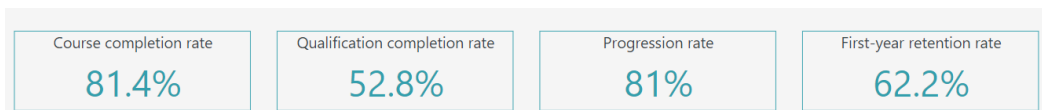


*Other (10%) includes: Distance, Millennium, onshore non-AUT, and offshore

Programmes by faculty (EFTS)

Teaching faculty	Māori EFTS	% of faculty that is Māori
 Health and Environmental Sciences	763 EFTS (45%)	12%
 Design and Creative Technologies	368 EFTS (22%)	8%
 Business, Economics and Law	282 EFTS (17%)	10%
 Culture and Society	219 EFTS (13%)	12%
 Te Ara Poutama	77 EFTS (4%)	29%

Student performance



Course completion rates for Māori students remain slightly below average overall, which is due to an equity gap of around three percentage points for students at undergraduate level. We reached parity for Māori postgraduate students in 2023 (88%), and at pre-degree level Māori students (74%) have higher success rates than non-Māori (70%). Through *Ki Uta Ki Tai*, we aim to close the remaining equity gap for undergraduate students within the next five years. The gaps for retention and qualification completion rates are larger, but expected to close as completion rates improve. Māori students with a disability generally achieve higher course completion rates than average (82% in 2023); those with an academic accommodation plan arranged with Disability Services have even higher success rates (88%).

In total, 81% of Māori students who complete a Level 3 or 4 pre-degree programme at AUT continue to undergraduate study the following year.

Student satisfaction

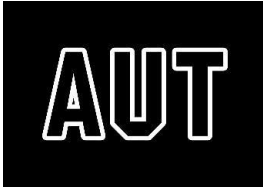
In the 2023 University Experience Survey, 91% of Māori students said they would recommend AUT to others. Māori were second only to Pacific (92%); and were the only ethnic group to have a consistent year-on-year improvement from 2021 to 2023. The Annual Programme Survey shows that Māori students are slightly less satisfied with the quality of the teaching they receive, and with their programme of study (78% satisfied for Māori on both categories, compared with 81% for teaching and 79% for programme overall). Analysis of past survey comments suggests that the ongoing restructure of undergraduate qualifications to include more mātauranga Māori may help with these results as this content is highly valued by Māori students.

Graduate outcomes

We had 528 Māori graduates in 2023, including eight with doctorates and 39 with masters degrees. The largest cohort of graduates was from the Bachelor of Health Science (Nursing), followed by the Bachelor of Communication Studies, Bachelor of Sport and Recreation, and the Bachelor of Education (Teaching). Our Māori graduates generally experience good post-study outcomes. The 2023 Graduate Survey found that 91% of available Māori graduates were employed full time, compared to 88% overall. In a testament to the quality of our graduates, almost half (46%) of respondents who had completed a work placement were subsequently offered a position at the same organisation, well above the overall offer rate of 42%. Three-quarters (74%) of employed Māori graduates reported using their skills in their new role.

4. Deputy Vice Chancellor Māori

The Rōpu appointed to progress the job description and process has completed its first cycle of meetings. An update on the Deputy Vice-Chancellor Māori process will be given in the room.



PART A	10.1
OPEN	
AGENDA ITEM	

Council Agenda Paper

Subject: **DEPUTY VICE-CHANCELLOR RESEARCH - UPDATE REPORT**

Date: **17 May 2024**

RECOMMENDATION:

THAT THE UPDATE REPORT FROM THE DEPUTY VICE CHANCELLOR RESEARCH BE RECEIVED

Background

There have been a number of recent changes affecting the university's research portfolio which it is important AUT Council is aware of.

Key Matters for Update

1. *Te Kete and Rautaki Rangahau (AUT's Research Plan 2023-2028)*

[Rautaki Rangahau](#) was developed and confirmed in the first quarter of 2023. It is one of our key "Core Plans" for the university. It articulates a "rangahau ora" - research for well-being approach - for our university and sets out our ambition to "create and support a thriving research community that undertakes high-quality research that creates beneficial impacts for our communities, our city and our nation".

Because Rautaki Rangahau was created in advance of our new university wide strategy Te Kete, we intend to reflect on and, if needed, amend Rautaki Rangahau to ensure it is consistent with and supports the vision, mission and ambitions set out in Te Kete.

This review will be led by the Research Committee of Academic Board and reported to the Vice-Chancellor's Executive for consideration.

An initial review of Rautaki Rangahau in the light of Te Kete reveals the following:

- There is a high level of consistency.
- The Initiatives set out in Rautaki Rangahau (most of which are already underway) support the ambitions set out in Te Kete.
- Te Kete provides a strong emphasis on “partnerships that accelerate impact” and this is one area where Rautaki Rangahau may need some increased emphasis. We are considering additional initiatives to support:
 - Hui and symposia that build connections with important partners.
 - A fund which supports the translation of our research into practice with and for key partners.
 - Building explicit expectations into our new Research Entities Framework that encourage our Research Institutes and AUT Research Networks to engage in partnerships with key stakeholders.
 - Developing a virtual front door: “AUT Solutions” for potential external partners who are looking for expertise, opportunities to partner and/or contract consulting, or who wish to access AUT facilities and services (e.g. testing using AUT clinics and laboratories and associated expertise).
- Te Kete also sets out an ambition for AUT to “provide opportunities for our students to be creative, innovative and entrepreneurial”. Our research has an important role to play in this ambition and Rautaki Rangahau should be amended to reflect this. We are considering additional initiatives such as:
 - Lifting the profile and contributions of AUT Ventures Ltd beyond a focus on commercialisation of research to contribute to supporting educational opportunities in the creativity, innovation and entrepreneurship area.
 - Exploring the development of a creativity/innovation hub on city campus where we could offer business start-up incubation opportunities and co-locate like-minded businesses.
 - Developing an “Entrepreneur in Residence” scheme.

2. *The Science System Advisory Group/University Advisory Group and potential changes to research funding*

On 27 March, government announced the establishment of a [University Advisory Group](#) (UAG) and a [Science System Advisory Group](#) (SSAG). The SSAG’s purpose is to provide strategic recommendations to MBIE (and its Minister) on options to improve the effectiveness and impact of New Zealand’s science, innovation and technology system. The UAG’s purpose is to provide advice to the Ministry of Education (and its Minister) that outlines challenges and opportunities in the university system, informed by engagement with the sector.

The Terms of Reference for both the [SSAG](#) and [UAG](#) are wide and, potentially, far reaching. The work being undertaken by both groups potentially represent the biggest changes to government strategy, funding (and the related structure) of science/research, innovation and technology and New Zealand universities in over 30 years.

The announcement of the formation of these two advisory groups was also paired with an announcement that the Quality Evaluation (QE) component of the Performance Based Research Fund (PBRF) scheduled for 2026 is cancelled. The PBRF has been the mechanism by which the Government

has allocated its funding derived from research (and nominally intended to support research) in New Zealand Tertiary Education Organisations (including universities, polytechnics and private training organisations) since 2002.

The PBRF currently allocates \$315 million per year on the basis of the QE component (55%), External Research Income (25%) and Research Degree Completions (20%). AUT has improved its results in all aspects of the PBRF since its inception. Our PBRF revenue for 2024 is \$21,890,721. We invest this revenue to support researchers and research across the university.

AUT’s PBRF Quality Evaluation trajectory

Year	Total funded EPs	A	B	C	C(NE)
2003	136	3.7%	22.8%	73.5%	N/A
2006	222	2.7%	24.5%	49.3%	23.4%
2012	429	4.5%	30.8%	42.6%	22.2%
2018	689	6.9%	36.5%	38.5%	18.1%

The work of the UAG explicitly includes a review of the current PBRF system. From the prior work of UAG/SSAG Chair Sir Peter Gluckman (leading the international panel’s review of the UK’s Research Evaluation Framework – their PBRF equivalent) we expect the following likely changes to the PBRF:

1. There will be a new research assessment of some type from 2026 onwards.
2. It will likely be based on groups/units, not individuals.
3. There will likely be a forward-looking research culture component with an increased weighting.

4. Impact and engagement case studies are likely to be required, with the number required per unit dependent on the number of staff in the unit.

There's a lot of work to be done to be ready for this radically different model of PBRF (or whatever its new name will be).

We have an AUT PBRF Steering Group that is working to help anticipate the changes coming (the first UAG Interim Report is scheduled for August 2024).

3. Trusted Research – Protected Security Requirements (TR – PSR)

[Trusted Research – PSR is a policy framework](#) that outlines the Government's expectations for personnel, information, and physical security within the research sector. It aims to secure the integrity of New Zealand's research and innovation sector while helping us get the most out of international scientific collaboration.

TR-PSR is primarily concerned with the risks posed by collaborations with foreign entities with unfriendly intent to misappropriate expertise, IP, IT networks, and research.

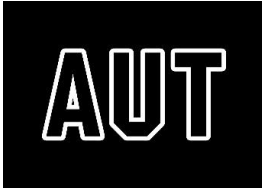
All NZ universities are being asked to build awareness, develop relevant training and protocols to manage potential security risks related to our research activities (and this now extends into our learning and teaching activities as well).

What we have done to date:

- Briefed key university leaders: VC Executive, Academic Board, Research Committee of Academic Board, DCT Faculty Research Committee.
- Formed a TR – PSR Working Group to provide advice to the DVC R and General Counsel (Executive Sponsors).
- Developed a TR – PSR Framework for AUT and a “road-map” to implement this.
- Engaged with AUT International Office to work collaboratively to identify potential risks associated with our international activities.
- DVC R has received clearance from the NZ SIS and receives regular security briefings.
- Developed an [online homepage on Tuia](#), including:
 - UNZ training video “An Introduction to Trusted Research” on Canvas.
 - Links to PSR guidance on travelling overseas for business.
 - ☉ MFAT training videos on export controls
- Developed due diligence protocol for screening potential international research partners.
- Developed a protocol for screening international visitors and researchers to AUT.
- Briefed Research Advisors in Te Kāhui Poipoi Rangahau (the University Research Office) and faculties.

Next steps:

- Develop a research data governance policy and procedures (underway).
- Review visiting researcher policy and procedures (underway).
- Review travel policy and procedures and develop training and resources on staying safe while travelling (underway).
- Brief Heads of School, APSG, Faculty Research Committees and ECMS (planned).
- Develop a register of sensitive research (planned).



PART A OPEN AGENDA ITEM	13.1
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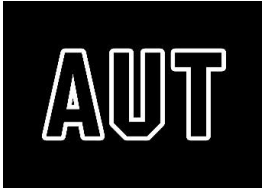
Council Agenda Paper

Subject: Update from the President of AUTSA – Alicia Lemmer

Date: 15 May 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA



PART A	13.2
OPEN AGENDA ITEM	

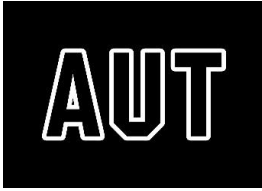
Council Agenda Paper

Subject: Update from the Council Member Elected by Academic Staff – Welby Ings

Date: 15 May 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE COUNCIL MEMBER ELECTED BY THE ACADEMIC STAFF OF THE AUCKLAND UNIVERSITY OF TECHNOLOGY



PART A	13.3
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: Update from the Council Member Elected by Professional Staff – Lani Thomson

Date: 15 May 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE COUNCIL MEMBER ELECTED BY THE PROFESSIONAL STAFF OF THE AUCKLAND UNIVERSITY OF TECHNOLOGY
