



LINCOLN UNIVERSITY COUNCIL

Minutes of a meeting held on Tuesday 26 May 2020 at ~8.30am by Zoom Conference and at the Blinc workshop

Meeting Minutes

Present: Mr B Gemmell (Chancellor), Emeritus Professor J McWha (Pro-Chancellor), Professor B McKenzie (Acting Vice-Chancellor) Mrs J Fredric, Mr R Hewett, Ms P Morrison, Mr S Blackmore, Dr C Smith, Mr A Macfarlane, Mrs P Parata-Goodall, Dr M van den Belt.

In attendance: Professor G Edwards (Deputy Vice-Chancellor)
Mr P O'Callaghan (Chief Operating Officer)
Mr S Reilly (Executive Director, Campus Life)
Mrs K McEwan (Executive Director, People, Culture and Wellbeing)
Dr L Petelo (Assistant Vice-Chancellor Learning and Teaching)
Dr D Payne (Assistant Vice-Chancellor Māori and Pasifika)
Ms A Cradock (Director Governance and Legal)

1. Welcome/Karakia/Apologies

An apology for absence was received from Ms T Nelson.

2. Disclosures of interests

The interest register was NOTED.

3. Confirmation of the Previous Meeting Minutes

Council RESOLVED:

Resolution

That the minutes of the Council meeting held on 28 April 2020 be taken as read and APPROVED subject to correction to titles.

Moved: Mrs Fredric, Seconded: Mr Hewett, CARRIED

4. Matters arising from the Minutes

The action register was NOTED.

5. Notice of Items of General Business

No items of General Business were put forward for discussion.

6. Chancellor's Report

The report was noted.

7. Vice-Chancellor's Report

The report was taken as read and NOTED.

The Acting Vice-Chancellor spoke of the impact lockdown has had on some postgraduate student's research. LUSA and management is working with these students on a case by case basis.

Staff have been in contact with the District Health Board to clarify social distancing requirements for the University.

The Acting Vice-Chancellor has approved a full fee waiver for all domestic students for Semester 2 2020 for the Postgraduate Certificate, Postgraduate Diploma, Graduate Certificate, Graduate Diploma, Taught Master, CUS online and Master of Planning. The University will still receive SAC funding for these students. There was a discussion about the discrepancy where some students in the same class would be required to pay where others would not.

The Acting Vice-Chancellor reported on the two all-staff briefings that have been held online in the last two months. The briefings were successful with nearly 400 attendees and over 200 questions. There was a discussion how initiatives such as using online medium should be carried forward.

The passing of Colin James ('Jas') McKenzie was noted.

7.1 Monthly Health and Safety Report

The report was taken as read and NOTED.

Staff are now focusing on ensuring individuals comply with the University's contact tracing requirements.

8. LUSA Report

The report was taken as read and NOTED.

The LUSA President noted that close to \$70,000 has been granted to students from the Hardship Fund.

There is a concern for International students who rely on part time jobs when they are studying in New Zealand. The University needs to communicate with potential students on this due to the current state of the job market. Long term the University should consider flexibility around timing of courses and the daily timetable. It was noted that Visa restrictions need to be considered.

There was also a discussion about involving the University in the Selwyn District Council plans on how to respond to the current economy.

9. Motion by the Chancellor for Resolution to Exclude the Public Pursuant to s48 of the Local Government Official Information and Meetings Act 1987:

The Chancellor moved that the public be excluded from the following parts of the proceedings of this meeting, namely:

<i>General Subject Matter</i>	<i>Reason for passing this resolution in relation to each matter</i>	<i>Grounds under section 48(1)</i>
Chancellor's In-Committee Report 1. Correspondence with Minister regarding the SSBC 2. Council meetings dates for 2021	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)
Vice-Chancellor's Report 1. Covid-19 Update 2. Monthly Recruitment Report 3. Draft Lincoln University Climate Action Plan	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)

Executive Committee Report	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)
Audit and Risk Committee Report 1. 2020 April Financials 2. 2+10 phasing 3. Strategic Risk Register 4. Student Discipline Regulations and Code of Conduct 5. Council Petitions Policy	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)
Capital Asset Committee Report 1. Programme Dashboard 2. Campus Landscape Update	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)
General Business	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)
Council and Committees Workplan	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(i)

The Chancellor moved that: Professor G Edwards (Deputy Vice-Chancellor), Dr L Petelo (Assistant Vice-Chancellor Learning and Teaching), Dr D Payne (Assistant Vice-Chancellor Māori and Pasifika), Mr P O'Callaghan (Chief Operating Officer), Mrs K McEwan (Executive Director, People Culture and Wellbeing), Mr S Reilly (Executive Director, Campus Life), Mr H Gant (Director, Finance), Dr H Cochrane (Director, Student Administration and Student Health), Ms K Flower (Director, Student and Stakeholder Engagement), Mr C Stevens (Project Manager), Ms K Humen (Business Analyst), Dr Greg Ryan (Proctor), Mr P Harris (Campus Development Programme Lead) and Ms A Craddock (Director Governance and Legal) be permitted to remain at the meeting after the public has been excluded, because of their knowledge of the various matters being discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because of their involvement in the development of reports to Council on these matters. **CARRIED**

11. Report from the Public Excluded Session

<i>General Subject Matter</i>	<i>Reason for passing this resolution in relation to each matter</i>
Chancellor's In-Committee Report	The report was received. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Vice-Chancellor's Report 1. Covid-19 Update 2. Monthly Recruitment Report 3. Draft Lincoln University Climate Action Plan	The reports were received. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Executive Committee Report	The report was received. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Audit and Risk Committee Report	The report was received. The discussion and any decision shall remain confidential at this time for the reasons noted above, other than the University's summary financial position to 30 April, the revised Student Discipline Regulations, the revised Code of Conduct and the revised Council Petitions Policy which will be released as and when the Acting Vice-Chancellor determines.
Capital Asset Committee Report	The report was received. The discussion and any decision shall remain confidential at this time for the reasons noted above, other than information about the Campus Development Programme, which will be released as and when the Acting Vice-Chancellor determines.
General Business	The report was received. The discussion and any decision shall remain confidential at this time for the reasons noted above.

12. Closure and next Meeting

The meeting closed at 12.18pm. The next meeting is scheduled for 8.30am Tuesday 30 June 2020, TBC.

Signed: _____ (Chair)

Date: _____

Council Agenda 30 June 2020 - Matters Arising from the Minutes

Council and Committee Action Register as at 22/06/2020

Meeting	#	Action	Responsibility	Date	Item	Due	Notes	Status
Council	276	Draw up a ToR for the Council Appeals Committee	Secretary	12-Dec-19	Item 4.2	30-Jun-20		Current



Chancellor's Office

Version: 1.0

Chancellor's Report for Council

Author/s: Amy Cradock

Date: 22 June 2020

Summary

This report summarises the following information for presentation to Council:

1. Appointment of Gabrielle Thompson as a new Council member
2. Letter from former Chancellor, Mr Anthony Hall, CNZM
3. Stakeholder meetings undertaken by the Chancellor in late May 2020 through to Council in June 2020.

Council appointment

We received notice from the Tertiary Education Commission that Gabrielle Thompson has been approved as a Ministerial appointment to the Lincoln University Council. The four year appointment is effective from 18 June 2020.

Letter from Tony Hall

We received the attached letter from Tony Hall congratulating the University on its annual report and thanking the Council for the award of his Honorary Doctorate.

Meetings May – June 2020

- 4 June The Wellington Principals Dinner was postponed.
 The Chancellor's scheduled meeting with Tim Fowler was cancelled.
- 16 June The Chancellor attended a meeting with the Acting Vice-Chancellor, Deputy Vice-Chancellor and Chief Operating Officer.
- 17 June The Chancellor and Chief Operating Officer attended the Lincoln Agritech Limited Board meeting.
- 23 June The Chancellor attended the site blessing and sod turning ceremony for Science South. Council member Mrs Parata-Goodall alongside Liz Brown and Corban Te Aika from Te Taumutu Rūnanga performed the traditional Māori blessing.
- 29 June The Chancellor and Management met with the Honorable Amy Adams and the National Party Candidate for Selwyn, Nicola Grigg.



COMMUNITY COLLEGES
NEW ZEALAND

22 June 2020

An Open letter to the Chancellor, Lincoln University Council, Vice Chancellor and Senior Leadership Team.

Yesterday I received a copy of Lincoln University's Annual Report 2019. I would like to pass on my congratulations to everyone who has contributed to achieve the results outlined in the report. I am acutely aware of the tenacity, perseverance intelligence and plain hard work that has been required to get to this point. Obviously more recent events have thrown a curve ball into the mix but it would be remiss of me not to acknowledge the significant progress the University has made over recent years despite the considerable challenges.

Also I am delighted the Science North research facility has received Ministerial endorsement and the initial \$5mil has been released to allow the project to proceed to the next phase.

Finally on a more personal note I would like to thank the Council and those responsible for such matters for the Honorary Doctorate. I have always regarded the privilege of working at Lincoln given its mission and its people was reward enough so to receive this honour is unexpected, humbling and appreciated.

With my Best Wishes and Great Respect,

Tony Hall, CNZM
Director, Community Colleges NZ





Vice-Chancellor's Office

Vice-Chancellor's Report

May 2020

Version: 1.0

Date: June 2020

A Distinctive Aotearoa New Zealand end-to-end Student Experience

COVID-19

Following New Zealand's move to COVID-19 Alert Level 2 on 14 May, the Senior Management Group together with the CIMS team continue to actively monitor the rapidly evolving situation and remain fully committed to sharing information with staff and students in a timely manner. Led by the Acting Vice-Chancellor with the support of the Senior Management Group, a preliminary overview of the University's Alert Level 2 plans were shared with the extended members of the Senior Management Group, including the Deans and Directors, ahead of an All Staff Briefing, which was held on 12 May 2020 via a Live Teams event.

A decision was taken by the University to move to Level 2 in a phased and planned approach, ensuring the required public health control measures were in place and allowing time to implement any location tracking data processes and technology. The University opened the campus on 18 May under strict public health control Alert Level 2 measures including contact tracing and health hygiene practices. During this phase and at least until the end of Semester One, all staff are encouraged to continue to work from home where possible. Full details of our campus operations in Alert Level 2 including the required public health measures were emailed to all staff and students and was also made available on the intranet and the website.

Māori and Pasifika Student Support

The University extended its sincere thanks and gratitude to the local Te Putahitanga, Etu Pasifika, and Tangata Atumotu organisations for the care packages and support they have made available to all our Māori and Pasifika students. This support has included food vouchers, groceries, cleaning products and laptops.

Blanket Impairment Applied

The University announced that for all in-semester and end of semester assessments, all students enrolled in taught courses are deemed to have experienced a mild to moderate impairment due to COVID-19 in Semester One, and this will be taken into account by all examiners. This includes requests for extensions, which should be granted directly by examiners. Specific applications under the COVID-19 aegrotat category will still be considered for moderate to severe impairment and should be applied by examiners when advised by the Examinations Office. Students have been informed via email and there was also a short discussion shared between LUSA President Sam Blackmore and Acting Vice-Chancellor, Bruce McKenzie in a video on the Lincoln University Facebook page.

Student Calling Campaign

A one-to-one calling campaign for our current students is complete. The well-being focused phone campaign ensures that every Lincoln University student (approximately 2,500 students)

was contacted individually. This campaign has been identified as being critical to the student experience especially concerning ensuring equity of learning and research for students who may not have access to reliable or appropriate technology.

Student Community App

Our customer engagement team has set up a new online campus community app – Rafr – that helps students meet each other, keep informed about campus activities, and share their events and notices. A social platform that is only accessible to people with an LU email address, Rafr is especially important in these challenging times, where our new student whānau may be missing out on the opportunity to connect with others and truly experience the vibrancy of our Lincoln campus. Rafr also features a Freshers' Raft, which enables new students to connect with one other.

Student Activities

The accommodation team reported receiving an overwhelming response to an Inter-flat talent competition, which was aimed at connecting students living on campus during alert Level 4. The residents were asked to send in photos, videos or audio files of themselves demonstrating their talents.

Despite physical distancing posing a problem for our athletes and sports enthusiasts, they have been super-creative in showcasing their prowess online. When University & Tertiary Sport New Zealand (UTSNZ) launched their Lockdown League, our sporting community rose to the challenge, representing Lincoln University from home in the three sporting disciplines of basketball, Frisbee and golf. In the Lockdown League, universities are ranked according to the number of entries submitted by staff and students in each of the three challenges, with bonus points for the best video submissions (by public vote). The Lincoln University team dominated the Lockdown League from day one, ranking first in the League and winning the public vote for best video submission for the first three weeks in a row. Week four brought a slight change to the leader board, with the University of Waikato joining our team at the top.

Alumni

The University extended its congratulations to recent Lincoln University alumnus Ash-Leigh Campbell (Ngāi Tahu), who has been announced as the Fonterra Dairy Woman of the Year for 2020. Ash-Leigh graduated this year with a Bachelor of Agriculture (Commerce), following her Diplomas in Agriculture and Farm Management. She is currently the Farm Manager for Ngāi Tahu Farms, where she manages eight farms with 8,000 cows.

Condolences were sent to the Stiven family upon the death of their son, Lee. Lee, 25, a Lincoln Diploma in Agriculture graduate of 2017, died in Scotland in May from a brain infection, and a funeral service for him was held in Dumfries, where he had been working in agriculture. The Stivens, of Arden Lodge, are a loyal Lincoln family. Lee's sister Kate was a Cricket Scholar at Lincoln, graduating Bachelor of Tourism Management in 2014, and brother Scott graduated Bachelor of Commerce in 2013.

Improved Assets and Sustainable Operating Models

Ensuring the University's Financial Viability

A strong focus continues on securing the University's ongoing financial viability while also ensuring the wellbeing of all our staff and students. The cost-savings initiatives that were implemented in consultation with our staff will contribute significantly towards off-setting the adverse impact that the country's COVID-19 response has had on the University's revenue.

So far, the response from our staff has been tremendous, with 167 staff taking up 179 options, equating to a savings of just over \$748,000.00. This has been a moving and very generous effort, for which we are deeply grateful. We continue to encourage staff to think about how they could contribute to the cost-savings effort. In particular, staff with excess annual leave accruals are being urged to assist in reducing the liability by taking a block of leave or intermittent leave.

Campus Development

Monday, 4 May was an important day for the University, with the confirmation of Ministerial endorsement of our Single Stage Business Case for the Science North building. Education Minister Hon Chris Hipkins and Finance Minister Hon Grant Robertson provided the endorsement, which releases \$5 million in funding to progress the construction of Science North. The endorsement allowed the University to go to market to tender for a construction contractor. The Ministerial endorsement is a massive boost for the University, as it demonstrates the Government's confidence in our direction and underlines our value in playing a leading role in New Zealand's transition to a more productive, low-emissions economy.

Due to the effects of COVID-19, the University has been reviewing our campus development priorities, and as a result, the planned refurbishment of Hudson into an administration block has been cancelled. This means that the planned moves of teams to Hudson will no longer proceed, and all staff in Annex C, Building 32 and Forbes Ground Floor will remain in these spaces for the time being.

The third stage of the George Forbes refurbishment has also been under review, and the scope of this work has been amended to include seismic strengthening and light refurbishment, rather than the continued development of dedicated student space. Planning is still underway on this piece of work. This is quite a big change from our original plans, but in light of the unknowns around the impacts of COVID-19, we believe this to be the best outcome. Once work is completed in the reception area in George Forbes, now expected to be September, the main reception function will move back to this space.

Moving to Alert Level 2 has allowed the campus development team to progress several key projects on campus, including the news that enabling works for Science South will commence shortly. Initial work will consist of the construction of a new entrance to the Orchard Carpark, and the set-up of the site ready for the main build.

Annual Report 2019

Our Annual Report 2019 was publicly released towards the end of May. Highlights included a positive financial performance for 2019 and an increase in student numbers to 3,305, the highest number since the earthquakes of 2010/11. The launch of the Children's University

Canterbury Partnership and our Campus Development Programme feature among the key events from 2019 reported on in the document. It also mentions that Lincoln's revenue in 2020 will, along with the other New Zealand universities, be adversely impacted by the International travel ban and lockdowns due to COVID-19. The Annual Report has been distributed to our target audiences including the media, government ministries, education providers and other key stakeholders, and is published on our website.

A Culture that Stimulates and Inspires

Just on 440 staff members and postgraduate students joined the live streaming of the All Staff Briefing on 13 May, where a robust discussion was had about our campus moving through the alert levels over the next few months into Semester Two. The session was recorded and made available on the intranet for staff who were unable to attend.

Guidelines for working from home have been provided for staff to ensure their workstations are effectively set up to keep them as safe and comfortable as possible.

Staff Offer

Ngāi Tahu Property has released the next 50 sections in the Matuku neighbourhood of the Te Whāriki subdivision. As always, Ngāi Tahu Property offered Lincoln University staff the opportunity to place a section on hold ahead of the general public release on Wednesday, 20 May.

TEU

Staff were advised that the Tertiary Education Union has initiated bargaining for collective agreements, under section 43 of the Employment Relations Act 2000. The letters of initiation of bargaining were published on the intranet providing details of the intended coverage clauses of the collective agreements.

Salaries Review and Promotions

The University will be conducting a Salary Review and Promotions Round for Academic Staff and General Services staff in 2020 but given the impact of COVID-19 on the University's financial situation, there will be no consequent increases to salaries until 2021. Promotion applications that are approved by the Promotions Committee and endorsed by the Acting Vice-Chancellor will be awarded in name only with any associated salary increase to be actioned in 2021, the date of which is yet to be confirmed.

Achievement and Recognition

We extended our heartiest congratulations to Professor Greg Ryan on his appointment to the role of Managing Editor of the *International Journal of the History of Sport (IJHS)*. The *IJHS* is the oldest and most prestigious journal in the field of sport history, with a team of ten editors overseeing fifteen issues per year and truly global coverage. From the beginning of 2021, Greg's task will be to coordinate the activities of the editors and other contributors to regional and special issues, oversee the production of the journal and liaise with publishers Taylor & Francis Group. This is a substantial leadership role and reflects the very high standing in which Greg is held within the field.

The Sustainability Leaders Project published an interview with Professor David Simmons where he shares his thoughts on how popular travel destinations like New Zealand will recover from the coronavirus pandemic and what are the key sustainable tourism challenges our country will need to address in the post-Covid world. The Sustainability Leaders Project is a forum where sustainability leaders from all around the world tell their stories and share their experience of making tourism more responsible and sustainable. In the interview, Professor Simmons addresses some thorny issues like: "In many respects, we need to address the consumption paradox in tourism" and introduces complex questions like: "Does tourism always need to be consumptive of common property resources? Could, for example, tourism contribute to social and natural capitals by enhancing the concepts of restoration and regeneration?"

In an article originally published on Stuff.co.nz, Distinguished Professor Philip Hulme highlighted how the current COVID-19 response points the way forward to improving biosecurity in New Zealand. Professor Hulme states that: "New Zealand's actions to halt COVID-19 represent the most dramatic biosecurity response ever undertaken in this country", and asks: "So why are we making remarkable progress towards eliminating a pandemic disease when attempts to prevent epidemics in our livestock, crops and native species have failed?" The answer: "The obvious answer is that human lives are more important than plant and animal health."

A World-Class Research and Teaching Precinct

The overarching key principles that the University will adopt for Semester Two and the remainder of 2020 have been shared with all staff and students. These principles have been informed by a set of Alert Level guidelines provided by the MoE and the Canterbury District Health Board. A complicating factor that needs to be kept in mind is that the Alert Level could change at any time and we will need to be prepared for when it does.

Overarching Principles for Semester 2

Semester Two will require all lectures, tutorials, and other teaching activities to be available online via LEARN. While this ensures a level of certainty that the University can meet requirements should the alert level increase, it also means that we can support staff and students who are unable to return to campus, whether for health reasons, travel restrictions or other reasons.

We are working on the assumption that Semester Two will operate under Alert Level 1, and we are intending to have as much face-to-face teaching as possible. The government has relaxed the guidelines for physical distancing at universities under Alert Level 2 and 1. This means that we may be able to use our lecture rooms at full capacity as long as we can accurately contact trace. However, all lectures must be recorded and all other teaching activities must be available online. Learning activities that cannot be taught online, such as field trips, tours and laboratory classes may resume face-to-face. However, we will have to follow COVID-19 guidelines and in some cases e.g. field trips or tours may be subject to the approval of the Deans.

- Face-to-face field trips and field tours will require the approval of a COVID-19 operational plan by a Dean. Alternative assessments, which may include virtual field activities will be offered for students who are unable to participate in the approved activity, or in the event of a raised Alert Level.

- **Laboratory classes will resume in a variety of forms and under COVID-19 social distancing guidelines, including face-to-face and field-based teaching. Labs that can be delivered online via LEARN will continue. For students who cannot attend in person and where an online option is not possible, an alternative equivalent activity must be provided or alternative arrangements must be signed off by a Dean.**

To date we believe that all assessments, including final assessments and exams, will be delivered online via LEARN. However, under Level 1 exceptions may be considered for courses in which all enrolled students are on-campus. Written approval from the relevant Dean and examination office is required for any on-campus assessment. Options of providing examination spaces on campus are being considered where on-campus students can do their online assessment. Final assessments and examinations will be held under the same conditions that applied for Semester One, 2020 for students who are not required to attend in person.

An Organisation Focused on Meaningful Partnerships

The Children's University Canterbury Partnership announced it has been given a Māori name, and from now on will be called **Te Mātāpuna Mātātahi | Children's University**. Te Mātāpuna Mātātahi | Children's University is a source of education for young people, a spring flowing with the water of learning. Mātāpuna = source, often of water, or a spring; Mātātahi = young people, younger generation. Te Taukaea Aroha has been chosen as the waiata for Te Mātāpuna Mātātahi | Children's University. A video of the waiata was made by Kotahi Mano Kāika and it demonstrates the words in subtitles and actions.

The University extended a warm welcome to Lincoln University Foundation new Chair, Richard Riddell (BAGCom VFM, 1980). Former Chair, Barry Brook, stepped down as Chair and Richard was appointed in May. Richard is not new to the Foundation as he was nominated as the Alumni Association's representative on the Foundation several years ago.

Facilitating Growth

As part of Lincoln University's ongoing commitment to online learning, beginning in Semester Two we will be offering two new online programmes: a Postgraduate Certificate in Commerce and a Certificate in University Studies.

This is an important step forward as it builds upon our existing blended programmes and yet is distinctly different from our current Emergency Remote Teaching practice). Initially, a particular target market for these new online programmes is those domestic students who may currently find themselves in the job market and looking to upskill, either as a pathway to further study or a new vocation. As new fully online offerings, both programmes will be designed in a completely asynchronous model to allow Lincoln University to reach students who otherwise would not be in a position to physically come to campus in a time-bound manner.

As Lincoln looks to systematically move more programmes online in the years ahead, we are fortunate to have Dr David Dannenberg, the new Director of Learning, Teaching, and Library, to lead this endeavour. Dave is working with members of the Senior Management Group and Faculty and Divisions to build and implement a new online and blended learning plan for the

University, which will impact multiple areas across campus, both administratively and academically.

The Customer Engagement team is working on a promotional campaign designed to leverage this exciting new opportunity, which will include a compelling mix of advertising, social media messaging and other strategic communications activity targeting students previously engaged in tertiary education, as well as those looking to make a career change or upskill in their chosen vocation or begin a pathway to further study.

Further strengthening our market positioning in the post-Covid environment, the University moved swiftly to offer full fee waivers for all (including current) domestic students for the period Semester Two 2020 until the end of 2021. The fee waiver applies to Graduate Certificate students; Graduate Diploma students; Postgraduate Certificate students; Postgraduate Diploma students; Taught Master students; and CUS students.

The Acting Vice-Chancellor's Engagements during March

May 2020

- On 4 May attended a weekly Senior Management Group meeting
- Together with the Executive Director, People, Culture and Wellbeing, met with the TEU on 6 May to discuss the impact of the pandemic
- Together with the DVC, COO, and CDP Lead, met with the Acting CE of AgResearch on 6 May
- On 7 May attended a meeting with the New Zealand VCs and Universities NZ
- On 8 May attended the GOG meeting together with the Independent Chair and TEC
- Addressed and answered questions at the quarterly Professoriate meeting on 8 May
- On 11 May attended a weekly SMG meeting.
- On 13 May attended a monthly SMG Extended Senior Leaders meeting
- On 13 May addressed and answered questions at the monthly all staff briefing
- Attended a monthly meeting with TEC officials on 14 May together with SMG members
- On 15 May recorded a video message for students with the LUSA President Sam Blackmore
- Attended a meeting with the independent PCG Chair and the CDP team on 15 May to discuss contractor options for Science North
- On 18 May attended a weekly SMG meeting
- On 19 May attended the LU Council, CAC and ARC meetings
- On 20 May attended the LU Council Remuneration Committee meeting
- Met remotely with the VC of the University of Canterbury on 20 May
- Together with the Chancellor, attended the LU Centennial Trust and LU Foundation Board of Trustees meeting on 21 May
- On 25 May together with the Executive Director, People, Culture & Wellbeing, attended a monthly meeting with the TEU
- On 25 May attended a monthly meeting with the LUSA President, Sam Blackmore
- On 25 May attended a weekly SMG meeting
- On 26 May attended the monthly LU Council meeting
- Addressed and thanked the CIMT at their last meeting on 27 May
- On 27 May addressed and answered questions at the regular HoD/HoP Forum.



Vice-Chancellor's Office

Version:

Health, Safety & Compliance Report

Author/s: Health, Safety & Compliance Manager

Date: 9 June 2020

Purpose

Health, Safety and Compliance reporting for May 2020.

Content

Executive summary:

- Reported Events
- Return to Work activities
- COVID-19 actions
- Contractor Management
- Containment Facilities external audit
- H&S Measures Progress achieved

Issues

NII

Recommendations

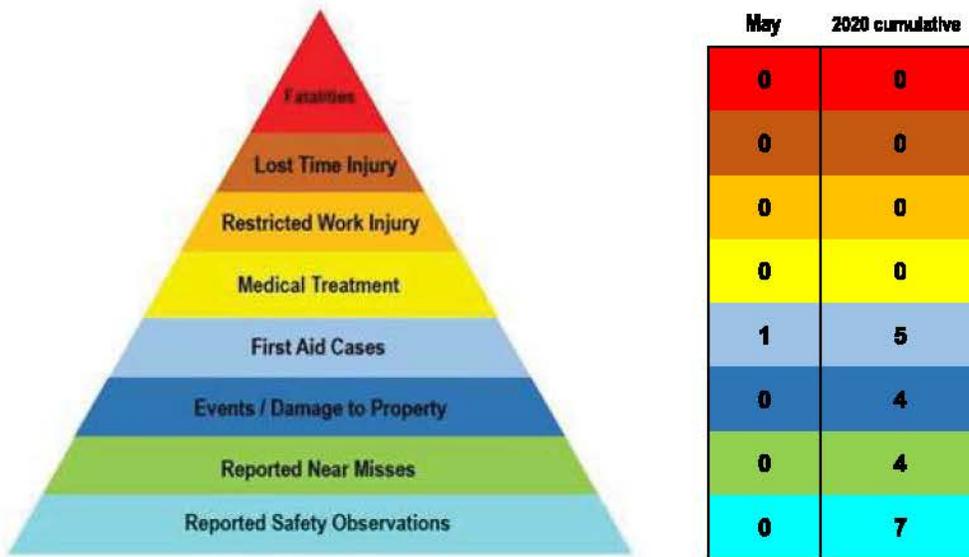
This report is for noting.

Executive summary

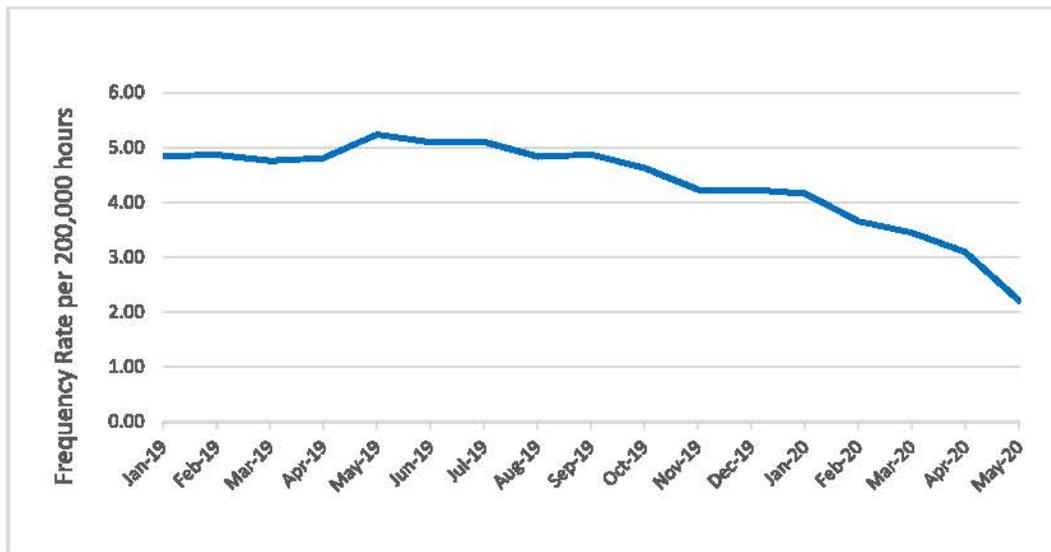
We had no lost time injuries in May.

Reported Events

Only one incident was reported in May.



Total Recordable Injury Frequency Rate



The above chart shows Total Recordable Injury (TRI) frequency per 200 000 hours in the last 14 months. TRI is defined as reported work-related medical injuries, restricted work, lost time injuries, and fatal injuries.

Return to Work Plans

Ongoing support via weekly phone calls has been provided to 5 staff who are either recovering from surgery (1), were booked to have surgery (2), or who suffered a non-work injury (2).

COVID-19 H&S Activities

The university shifted from Level 3 to Level 2 on May 14th. The move to Level 2 was supported by a Covid H&S plan for campus activities, while individual business units required to meet specific industry guidelines such as the Recreation Centre (Sport NZ) and Food & Beverage (NZ Hospitality) worked with the H&S team to ensure their Level 2 plans were complete and operational.

Additional considerations included:

- Ensuring we were aware of our immune-compromised staff, or staff caring for vulnerable family members so we are not putting them at risk
- Working with the campus Wellbeing team to ensure staff and students needs are being met, and we are addressing any mental health issues in a timely manner

Contractor management updates included:

- Updated Covid-19 assessment (simplify and align with guidance documents)
- Updated SSSP Tool to reflect Covid-19 basic controls
- Updating LU SMP to reflect Covid-19 basic controls and QR register

Staff Wellbeing

During May, the wellbeing focus was on ensuring staff who reported discomfort with home offices were given support. This support was via phone or skype calls, advice was provided and a follow up emails included resources to support them working from home. This support has resulted in one staff member being referred onto ACC for support, and another purchasing their own office chair for use at home.

Contact was made with several staff who reported feeling anxious about the pandemic and the return to the workplace. The staff self-reporting anxiety so far are from a small group who have an established elevated health risk should they be exposed to the virus.

The EAP monthly flyer was distributed to all H&S Reps and trained psychological first aiders. In late May, an email was sent to the same group asking them to contact people in their work areas to see if any required assistance. The H&S team will continue to follow up with known staff who have indicated they would like ongoing support through this time.

June is Men's Health Month, planning has been low key due to being at Alert Level 2. Suggestions for activities for men include a BBQ get-together, and a health / fitness assessment with the Rec Centre staff.

Contractor Management

Campus Development:

- Science South SSSP evaluation and Covid-19 Plan assessment (Leighs Construction)
- Science South SSSP evaluation and Covid-19 Plan assessment (Connetics)
- Union demolition (Taggart): Post-contract evaluation
- TMP advice/solutions for Science South LU foot traffic and Recreational Centre concrete pour
- Ongoing inspections
 - Recreational Centre (Naylor Love): Fortnightly

- o **George Forbes (ABL): Weekly**
- o **Student Houses (Trident Homes): Fortnightly**
- o **RFH Solar (Meridian): Fortnightly**
- o **Union demolition (Taggart): Fortnightly (now complete)**
- o **Science North (McMillan Drilling): Weekly (now complete)**

Facilities Management:

- **Ongoing inductions.**
- **Risk Assessing education sessions with primary contractors.**
- **SSSP evaluations and Covid-19 Plan assessments (multiple contractors)**
- **Risk assessment on Boiler House controls (external)**
- **Updating SOP for contractors in response to Covid-19**
- **Update task on electronic register (general content and Covid-19)**
- **Monitoring hazardous works completed by the contractor personnel**
-

Information Technology Services:

- **SSSP evaluations and Covid-19 Plan assessments (multiple contractors) – minor works**
- **Safe work planning (Task Analysis) with contractors – minor works**
- **Inductions as required**

Containment Facilities

MPI undertook their Verification Audit of our Containment Facilities on 26 May, auditing against the four Biosecurity Standards we operate under (Containment Facilities for Plants, Containment Facilities for Vertebrate Laboratory Animals, Containment Facilities for Microorganisms and Cell Cultures 2007a, and Transitional Facilities for Biological Products). The outcome was Acceptable (rating scale is Acceptable/Unacceptable), and we had no corrective actions resulting from this audit.

2020 H&S Measures

Item	Actions	Progress
Compliant Laboratories HSW (Hazardous Substances) Regulations 2017	<ul style="list-style-type: none"> • Lab Managers appointed • Laboratories meet required standards • Hazardous Substances Manual updated • Lab user training documented • Annual audits completed • Chemical inventories reviewed annually • Emergency Response Plans tested annually • LU Lab Safety video available for training staff and students 	<ul style="list-style-type: none"> - Completed Dec 2019 - On going - In progress - Training ongoing - Audits due Nov 2020 - inventory reviews in progress - ERP tests due June - In progress
Containment Facilities (HSNO Act)	<ul style="list-style-type: none"> • Internal audits (March/Sept) • External MPI verification audits • Corrective actions completed • Manual updated and approved by MPI • University-wide approval to develop GM organisms application submitted to EPA 	<ul style="list-style-type: none"> - Internal audits on hold due to COVID-19 - Verification Audit took place on 26 May - No corrective actions resulted from May audit - Ready for submission to MPI - On hold until Semester 2
Farms and Field Services	<ul style="list-style-type: none"> • Hazard registers reviewed annually • Approved trainers documented • Training records documented • Timely incident reporting • Chemical inventories reviewed and documented • Safety signage reviewed • Access protocols reviewed • On Side app for farms 	<ul style="list-style-type: none"> - Due June - In progress - In progress - JML and FRC compliant - JML completed, FRC due for completion in June - Signage review complete - In progress - Now implemented for all four Lincoln vicinity properties
H&S Inductions	All new employees complete the organisational H&S Induction within the three weeks of starting	- Ongoing fortnightly
H&S Representatives	Ensure there are an appropriate number of trained H&S Reps for business areas	- Review due for completion by June H&S Committee meeting
Incident Reporting	<ul style="list-style-type: none"> • All incidents are being reported in a timely manner • Investigations completed where severity of incident requires it 	<ul style="list-style-type: none"> - Identifying areas with low reporting - All investigations up to date May 2020

Worker rehabilitation	All injured employees have Return to Work programmes	Ongoing
Contractor Management	<ul style="list-style-type: none"> • All Facilities Management external contractors re-Inducted • Campus Development main contractors inducted 	<ul style="list-style-type: none"> - Mass re-induction scheduled Friday 20 March but postponed until Alert Level 1 - Ongoing as required
Key training (external)	<ul style="list-style-type: none"> • First Aid: continue refresher training to maintain appropriate number of workplace first aiders 	<ul style="list-style-type: none"> - Refresher training to commence in Semester 2
Staff Wellbeing	<ul style="list-style-type: none"> • Staff wellbeing day • Work from Home procedure updated and guidance material provided for BCP purposes 	<ul style="list-style-type: none"> - Scheduled for 8th April but postponed until Semester 2 - Completed March 2020 and distributed to staff during Alert Level 4
New Science Facilities	<ul style="list-style-type: none"> • MPI sign-off on containment lab design and fit-out • Safety in design/access security 	<ul style="list-style-type: none"> - In progress with MPI for Science North - Security access work with BECA and WAM completed
Radiation (JML scanner)	<ul style="list-style-type: none"> • Ministry of Health audit • Licence renewal 	<ul style="list-style-type: none"> - Due Sept 2020 - Due Sept/Oct 2020
Safety on Campus	<ul style="list-style-type: none"> • Uptake of SAFELU app • Update Emergency Response Flip Charts • Test lockdown sirens 	<ul style="list-style-type: none"> - Currently 3046 subscribers - Completed - Moved to Semester break



Vice-Chancellor's Office

Version:

New Sexual Harm Policy and Procedure

Author/s: Greg Ryan – Proctor

Date: 12 June 2020

Purpose

This paper introduces a new Sexual Harm Policy and Sexual Harm Procedure.

Content

- Sexual Harm Policy (new – requiring approval)
- Sexual Harm Procedure (new – requiring approval)
- Sexual Harm pathways – web content (for information)

Issues

The new Sexual Harm Procedure requires the approval of Council as it contains provision for appeal to the Appeals Committee of Council.

While we could perhaps deal with issues of sexual harm under the Student Discipline Regulations and related policies and procedures, there are good reasons for having distinct policy and procedure to deal with this issue:

- Sexual harm cases frequently involve added complexity in terms of the need to support complainants and respondents while working towards appropriate outcomes
- The potential for these cases to intersect with criminal proceedings requires added diligence and transparency in terms of our process and documentation
- There is a growing public and media expectation that tertiary institutions have specific support pathways and procedures to minimize instances of and deal with cases of sexual harm

The desire to avoid potential for re-traumatizing victims of sexual harm with a multi-layered appeals process (Proctor – Disciplinary Committee – Appeals Committee) prompted revision to the Student Discipline Regulations (approved by Council in May 2020) such that most matters can only be appealed to the Disciplinary Committee, but the most serious matters such as those covered by this policy and procedure are sent directly to the Appeals Committee of Council.

Both the Student Discipline Regulations and the Sexual Harm Policy and Procedure also clarify situations where Disciplinary matters within the University may also be subject to a criminal process.

Recommendations

1. Approve Sexual Harm Policy and Sexual Harm Procedure
2. Note Sexual Harm pathway documents

Executive summary

Introduction

Notwithstanding the broad misconduct provisions in the Student Discipline Regulations, it is now highly desirable to have a separate Sexual Harm Policy and Procedure. Recent experience at this and other universities has shown that there are specific complexities and sensitivities in handling complaints of sexual harm that set them apart from other misconduct and disciplinary matters. It has also been important to develop easily accessible support / pathway documents to underpin this Policy and Procedure.

Each of the attached documents has been subject to extensive consultation within Lincoln University, comparison with the policies and procedures of other institutions, and legal guidance.

Proposed steps for resolving identified issues

- **The Sexual Harm Policy and Procedure is substantially based on similar documents at several other Australasian universities and is designed to align with the revised Student Discipline Regulations.**

POLICIES AND PROCEDURES



Sexual Harm Policy

Last Modified:	New
Review Date:	1/06/2023
Business Owner:	Executive Director People, Culture and Wellbeing
Approval Authority:	Council

1. PURPOSE

This policy confirms Lincoln University's commitment to combating sexual harm in all forms within its community. Behaviour that is intimidating, abusive, disrespectful or threatening will not be tolerated and is unlawful (Crimes Act 1961; Human Rights Act 1993; Harmful Digital Media Communications Act 2015). Individuals and groups who commit or attempt to commit acts of sexual harm will be held accountable through a process that ensures procedural fairness.

The associated procedures specify the actions that the University will employ to address sexual harm through education, training and prevention programmes, the provision of support, reporting and complaints procedures, and fostering and promoting a culture of consent and healthy relationships.

2. DEFINITIONS

Consent: The active, ongoing, informed, specific and freely given agreement in response to a request to engage in physical contact or sexual activity. Consent cannot be given by someone who is incapacitated by, or under the influence of, drugs or alcohol, unconscious, or otherwise unable to understand and voluntarily give consent.

Lincoln University community: all staff members (whether permanent, temporary or part time), honorary staff, students (whether full time or part time), contractors, subcontractors, consultants, alumni, associates, business partners or official visitors or guests of members of Lincoln University.

Sexual assault: any kind of sexual contact initiated without actively seeking and gaining mutual consent. It includes, but is not limited to, unwanted kissing, touching of private body areas, fondling, oral or anal sex, intercourse, or other forms of penetration, or any other unwanted act of a sexual nature.

Sexual harassment: ongoing persistent unwanted remarks, behaviours, or communications of a sexually oriented nature, negative or derogatory behaviours or communications based on gender that promote gender-based harm, – where the person responsible for the remarks, actions, behaviours or communications knows or ought reasonably to know that these are unwelcome. Sexual harassment may also consist of unwanted attention of a sexually oriented nature such as personal questions about one's sex life, persistent requests for a 'date', or unwelcome remarks about someone's personal appearance.



Sexual harm: any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, and is committed, threatened or attempted against a person without that person's consent. This includes, but is not limited to sexual assault, sexual harassment, stalking, indecent exposure, voyeurism, sexual exploitation, degrading sexual imagery, distribution of sexual images or video of a community member without their consent, and cyber harassment or cyber stalking of a sexual nature. Acts of sexual harm can also be acts of sexism, racism, colonialism, ableism, homophobia, and/or transphobia.

3. SCOPE

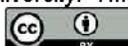
This policy applies to all members of the Lincoln University community in circumstances where incidents of sexual harm take place on University property and premises or using University-owned or managed property or equipment. The scope includes incidents of sexual harm that occur off campus where the respondent is a member of the Lincoln University community and the incident is part of Lincoln University teaching, research, or other activities.

4. LIMITATIONS

Lincoln University does not have jurisdiction in situations where sexual harm is perpetrated by a person who is not part of the Lincoln University community, or if the incident precedes the employment or enrolment of the complainant at Lincoln University.

5. RELATED POLICIES AND PROCEDURES

- [Discipline Policy and Procedure](#) (staff)
- [Student Discipline Regulations](#)
- [Prevention of Bullying and Harassment Policy](#)
- [Prevention of Bullying and Harassment Discrimination Guidelines](#)



POLICIES AND PROCEDURES



Sexual Harm Procedure

Last Modified: New
Review Date: 1/06/2023
Business Owner: Executive Director People, Culture and Wellbeing
Approval Authority: Council

1. PURPOSE

This document outlines the framework of procedures to enable complaints of sexual harm to be addressed, supported, and resolved in a fair equitable, transparent, confidential and timely manner.

These procedures should be read in conjunction with the Sexual Harm Policy.

2. DEFINITION OF TERMS

The definition of terms used throughout these procedures are detailed in Appendix 1.

3. APPLICATION

These procedures apply to all members of the Lincoln University community, who will receive support through their preferred support pathway in a timely manner.

Support pathways and representation

- If the complainant is a staff member, they may access support through the Sexual Harm Response and Prevention (SHRP) Coordinator and engage a union, legal, or other representative / advocate of their choice as appropriate;
- If the respondent is a staff member, they may themselves engage a union, legal, or other representative / advocate of their choice as appropriate;
- All student complainants and respondents will be provided with support from the SHRP and representation by either the Proctor or LUSA;
- Where there is a suspected incident of sexual harm between a student and a staff member, the Proctor and the SHRP Coordinator will liaise with the relevant line manager and the Human Resources Business Partner to facilitate an appropriate course of action in accordance with the processes and timelines outlined in these procedures, the Disciplinary Policy and Procedure (staff) and the Student Discipline Regulations.

Role of the Sexual Health Response and Prevention Coordinator (SHRP)

The SHRP is based in Student Health and Support and is the first point of contact on campus for any student or staff member affected by sexual harm. They will work as needed with on- and off-campus partners including, but not limited to, LUSA and other student organisations, Student Administration, Faculties, Divisions, Human Resources, the Vice Chancellor's Office, Proctors, Learning Teaching & Library, International Student Support Advisors, Accommodation Services, Student Health & Support and Campus Security, and other service units. Services are confidential.



4. FRAMEWORK

The framework for these procedures is designed to acknowledge the incident, and to enable the complaint to be addressed and resolved as sensitively and effectively as possible, and to ensure that there is a:

- clear, transparent process;
- clear hierarchy of stages within the process; and
- wholly independent investigative stage in the process.

5. CONFIDENTIALITY

Subject to any legal requirements, all those Involved in a formal investigation have the right to have information they disclose kept confidential and are expected to maintain confidentiality.

6. COMPLAINT AND INVESTIGATION PROCESS

- i. An individual making a complaint should do so as soon as possible after the incident occurs. There is, however, no time limit for the making of a formal complaint, although long delays may inhibit the ability of people to recall facts accurately and may limit the ability of the investigator to reach any conclusions.
- ii. Any formal complaints under the Sexual Health Policy and Procedure must be in writing, documenting the incidence/s and including evidence wherever possible.
- iii. The University will not act on anonymous complaints. To manage complaints in a transparent manner, the respondent must not only be aware of the allegations but also who has made them. The University understands this can make it more challenging to raise a complaint, so an advocate may bring a complaint on someone else's behalf if the complainant does not feel able to raise it themselves.
- iv. Formal complaints will be investigated by the University as promptly as possible, in accordance with the relevant processes and authorities outlined in these Procedures, the Student Discipline Regulations, the Protected Disclosures Policy and Procedure and in accordance with the principles of natural justice.
- v. An individual making a formal complaint under the Sexual Harm Policy and Procedures may request to be removed from the study/supervisory or work situation while the investigation is being undertaken.
- vi. If, as an outcome of an investigation, it is determined that an incident or incidences of sexual harm have taken place, all matters of discipline will be addressed in accordance with, and by reference to the Disciplinary Policy and Procedure (staff) and the Student Discipline Regulations, related policies and procedures as noted at the end of this document, and no other. The officers of Lincoln University will have respect for any external agencies and laws but will act in accordance with the expectations of its own regulations and policies.
- vii. If, as an outcome of an investigation and based on clear evidence, it is determined that the complainant has intentionally made a false complaint, the staff member or student may be subject to disciplinary action under the Disciplinary Policy and Procedure (Staff) or Student Discipline Regulations.
- viii. At all times, detailed notes will be kept of the times, location and content of meetings. With the consent of those involved, meetings may be recorded to assist in compiling accurate notes.

Student Complainant

1. To make a complaint of sexual harm, the complainant or advocate should contact the Proctors in the first instance to request an in-person meeting. The complainant may also wish to provide their own written statement giving the circumstances of the incident.



The role of the Proctors is to listen, clarify details, and determine the appropriate next steps, which may involve notifying the SHRP. Depending on the nature of the complaint, the SHRP may inform the Director of Campus Life, Director of People, Culture and Wellbeing, and the Accommodation Manager that an incident has taken place, and any ongoing safety concerns. Anonymity of the complainant will be maintained at all times except where consent has been given or safety is a primary concern. Where safety is a concern, the Proctors will meet as quickly as possible to assess the situation. The Proctors, in conjunction with the Vice Chancellor acting under clauses 24 and 25 of the Student Discipline Regulations, have the power to act with urgency to issue non-contact orders or in other ways to restrict the movement and presence on campus of any person accused of an incident of sexual harm.

2. The Proctors will commence the investigation process. Every effort will be made to expedite the process in a trauma-informed and impartial way without compromising procedural fairness for all parties. Both the complainant and respondent will be offered access to a support person during this process and be made aware of appropriate personal support resources.
3. In all cases, the University will make a decision on proceeding with an investigation within seven working days of notification of an incident, taking into consideration primarily the needs of the complainant but the safety of all others involved and the whole campus, and also any police process that may ensue.
4. If, having decided not to investigate, the University is subsequently made aware of further information to justify an investigation, it may reverse its earlier decision and investigate. In deciding whether to reverse its earlier decision, the University may have regard to the time that has passed since the incident.
5. Once the decision to proceed with an investigation is taken, the Proctors will immediately contact the respondent to the allegation. The core element of procedural fairness is that a person against whom an allegation is made must know the nature of the allegation and evidence against them, and must be given the opportunity and sufficient time to respond to the allegations and evidence.
6. Within 14 working days of the decision to proceed with an investigation, the University will consult with police and legal experts as necessary to ensure any civil process undertaken by the University does not hinder any criminal process being undertaken. Beyond the immediate need to ensure the ongoing safety of all persons involved in an incident, any known criminal process will take precedence.
7. Within 20 working days of the initial complaint, the Proctors will meet separately with the complainant and the respondent. The **privacy and safety** of both the complainant and respondent will be paramount, and this will be communicated to all parties (including any advocates and support staff) involved. At no point will the complainant and respondent be required to meet together without the consent of both.
 - Complainants and respondents are entitled to have a support person with them throughout the investigation and decision-making process.
 - Complainants and respondents will be advised of their rights and responsibilities and what to expect from the investigation process.
 - Details of any interim measures, such as non-contact orders or restricted movement on campus, will be clarified and reiterated.
 - The outcome that the complainant is seeking will be clarified.
 - Statements will be taken from affected parties, transcribed, signed to attest to accuracy, and given to the other party.
 - Each party will be informed that should a police process arise, the statements provided to the University's investigation process may be requested by the police.
 - The respondent will be asked to respond to the statement of the complainant. It is very important, according to the principles of natural justice, that the process is fair and that the respondent is given an opportunity to address allegations against them. The Proctors may request further meetings with the complainant, the respondent and/or any witnesses



separately before reaching a decision. The complainant and respondent will be given the opportunity to respond to or question any new evidence that may be produced, before a resolution is reached.

- In general, the complainant and the respondent will be kept informed of progress by the Proctors. Both the complainant and the respondent may contact the SHRP or Proctors to ask for clarification at any time, and all efforts will be made to respond within one-two working days wherever possible.
 - Where the complainant or the respondent reasonably believes that the investigating Proctor or other support staff involved may have a conflict of interest, they may request the Vice Chancellor to appoint an alternative Investigator.
8. Within ten working days from the date of the last statement taken, the Proctors will make a decision. They may work with any other Lincoln University staff as required in making their decision. The decision will be conveyed to the complainant and respondent within five working days of the decision being made.
 9. The final decision will indicate whether or not there has been a breach of the Sexual Harm Policy and Procedure. The Proctors will provide both the complainant and the respondent with a summary of the investigation results, their decision, reasons for the decision and any applicable sanctions.
 10. Where the complainant or respondent believe the recommendation is unsatisfactory, they may make a written appeal to the Council Appeals Committee (refer to Section 12). The decision of the Council Appeals Committee is final.

Non-Student Complainant

1. To make a complaint of sexual harm, the complainant or advocate should contact the Director of People, Culture and Wellbeing in the first instance to request an in-person meeting. The complainant may wish to provide a report in writing giving the circumstances of the incident. Where the complainant reasonably believes that the Director or other support staff involved may have a conflict of interest, they may request the Vice Chancellor to appoint an alternative investigator.

The role of the Director is to listen, clarify details, and determine the appropriate next steps, which may involve notifying the SHRP. Anonymity of the complainant will be maintained at all times except where consent has been given or safety is a primary concern. Where safety is a concern, the Director and SHRP will meet as quickly as possible to assess the situation. The Proctors, in conjunction with the Vice Chancellor acting under clauses 24 and 25 of the Student Discipline Regulations, have the power to act with urgency to issue non-contact orders or in other ways to restrict the movement and presence on campus of any person accused of an incident of sexual harm.

2. The Director of People, Culture and Wellbeing, or delegate, will commence the investigation process. Every effort will be made to expedite the process in a trauma-informed and impartial way without compromising procedural fairness for all parties. Both the complainant and respondent will be offered access to a support person during this process and be made aware of appropriate personal support resources.
3. *Decision to investigate:* In all cases, the University will make a decision on proceeding with an investigation within seven working days of notification of an incident, taking into consideration primarily the needs of the complainant but the safety of all others involved and the whole campus, and also any police process that may ensue.
4. Once the decision to proceed with the investigation is taken, the Director of Human Resources, or delegate will immediately contact the respondent to the allegation. The core element of procedural fairness is that a person against whom an allegation is made must know the nature of



- the allegation and evidence against them, and must be given the opportunity and sufficient time to respond to the allegations and evidence.
5. Within 14 working days of the decision to proceed with an investigation, the University will consult with police and legal experts as necessary to ensure any civil process undertaken by the University does not hinder any criminal process being undertaken. Beyond the immediate need to ensure the ongoing safety of all persons involved in an incident, any known criminal process will take precedence.
 6. Within 20 working days of the Initial complaint, the Director of People Culture and Wellbeing, or delegate will meet separately with the complainant and the respondent. The privacy of both the complainant and respondent will be paramount, and this will be communicated to all parties (including any advocates and support staff) involved. At no point will the complainant and respondent be required to meet together without the consent of both.
 - Complainants and respondents are entitled to have a support person with them throughout the investigation and decision-making process.
 - Complainants and respondents will be advised of their rights and responsibilities and what to expect from the investigation process.
 - Details of any interim measures, such as non-contact orders or restricted movement on campus, will be clarified and reiterated.
 - The outcome that the complainant is seeking will be clarified.
 - Statements will be taken from affected parties, transcribed, signed to attest to accuracy, and given to the other party.
 - Each party will be informed that should a police process arise, the statements provided to the University's investigation process may be requested by the police.
 - The respondent will be asked to respond to the statement of the complainant. It is very important, according to the principles of natural justice, that the process is fair and that the respondent is given an opportunity to address allegations against them.
 - The Director of Human Resources, or delegate may request further meetings with the complainant, the respondent and/or any witnesses separately before reaching a decision. All in-person meetings will be transcribed. The complainant and respondent will be given the opportunity to respond to or question any new evidence that may be produced, before a resolution is reached.
 - In general, the complainant and the respondent will be kept informed of progress by the Director of Human Resources, or delegate. Both the complainant and the respondent may contact the SHRP or Director of Human Resources, or delegate to ask for clarification at any time, and all efforts will be made to respond within one-two working days wherever possible.
 - Where the complainant or the respondent reasonably believes that the investigator or other support staff involved may have a conflict of interest, they may request the Vice Chancellor to appoint an alternative Investigator. The Proctors will consider their concerns to determine whether or not to assign an alternative investigator.
 7. Where possible, within ten working days from the date of the last statement taken, the Director of Human Resources, or delegate will make a decision. They may work with any other Lincoln University staff as required in making their decision. The decision will be conveyed to the complainant and respondent within five working days of the decision being made.

The final decision will indicate whether or not there has been a breach of the Sexual Harm Policy and Procedure. The Director of Human Resources, or delegate will provide both the complainant and the respondent with a summary of the investigation results, their decision, reasons for the decision and any applicable sanctions

8. Where the complainant believes the resolution is unsatisfactory, they may apply to the Deputy



Vice-Chancellor who will further investigate, and communicate a recommendation to the Vice-Chancellor. The Vice-Chancellor will communicate the recommendation to the complainant in writing.

9. Where the complainant believed the recommendation is unsatisfactory, they may make a written appeal to the Secretary of the Council Appeals Committee (refer to Section 12). The decision of the Council Appeals Committee is final.

10. ALTERNATIVE RESOLUTION PROCESS

In appropriate circumstances, a complainant may be willing to resolve the matter before an investigation is commenced or completed. A respondent could also initiate an alternative resolution process by notifying the Proctors (students) or the Director of Human Resources (non-student). The Proctors / HR Director will follow-up with the complainant and the respondent to determine their willingness to participate in an alternative resolution process. For this to be a meaningful process, all participants must engage voluntarily and remain free from reprisal. At any stage during the process, the complainant may indicate they would like the complaint to move to an investigation and decision-making process.

Examples of alternative resolution may include, but are not limited to:

- i. **Impact Statement/Letter:** the complainant may decide to communicate to the respondent that their behaviour, remarks or communications are unwelcome or make them feel uncomfortable. They may choose to communicate their concerns verbally or in writing with the assistance of the SHRP.
- ii. **Facilitation:** A complainant may request that the Proctors / HR Director facilitate a discussion between themselves and the respondent. In such circumstances, a facilitator would try to reach a resolution between the complainant and the respondent by acting as a 'go-between'. Neither party is required to attend any face-to-face meetings during this process unless they both agree to do so. This facilitated process may result in a written agreement that could include behavioural expectations, participation in educative sessions, agreement to non-contact, or an apology.
- iii. **Restorative Justice:** Restorative or transformative justice is an approach used in situations that require a deep understanding of the harm done, the needs of those affected, and the strategies for moving forward as a community and creating lasting change.

If the complainant and respondent are able to reach an alternative resolution, a written record of the resolution will be prepared by the Proctors / HR Director to be signed by both parties. The signed resolution will be kept in the Proctors' Office (students) or in the HR Department (non-student). A copy of the agreement will be provided to the complainant and the respondent, and may be provided to relevant University staff where the terms of resolution need to be implemented on campus. The Proctors / HR Director will monitor the implementation and compliance of the agreed alternative resolution. If there is a failure to comply with the terms of the resolution, the complaint may be moved to an investigation and decision-making process.

11. WITHDRAWAL OF A COMPLAINT

At any time throughout the process, before a decision is made, a complainant may choose to withdraw their complaint. They should communicate this decision in writing to the Proctors / HR Director. As noted in 5 above, in some circumstances, the University may still pursue the complaint. If a complaint is withdrawn, both complainants and respondents can still seek support through the services on campus.

12. APPEALS

Any party to a decision made by the Proctor / Director of People, Culture and Wellbeing under the Sexual



Harm Policy and Procedure or clause 18.7 of the Student Discipline Regulations relating to serious misconduct may appeal to the Appeals Committee of the Lincoln University Council, whose decision will be final.

- An appeal must be lodged in writing, supported by such evidence as the appellant sees fit, with the Appeals Committee Secretary within ten working days of the date of such decision of the Proctor, or such longer period as may be allowed by the Council.
- The Chairperson of the Appeals Committee shall have the power to regulate the procedure of the Committee. Subject to this discretion, and where the party is a student, in the interests of natural justice, the procedures set out in clause 19-20 of the Student Discipline Regulations regarding Disciplinary Committee hearings should be adhered to.

13. STATISTICAL DATA

The SHRP, and the Proctors will maintain annual statistics on reported incidents of sexual harm on campus involving students and non-students and any sanctions arising from these for the purposes of community education and any legislated reporting that may be required. This data will not include any information that could identify any community member.

The data shall be retained for the period mandated by the General Disposal Authority for New Zealand Universities, a regulatory document issued by Archives New Zealand in support of the Public Records Act 2005.

14. ROLES AND RESPONSIBILITIES

All members of the Lincoln University community are expected to:

- familiarise themselves with the Sexual Harm Policy and Procedure and their responsibilities contained therein
- participate in relevant education and training programmes available on campus
- respect an individual's right to confidentiality if an incident of sexual harm is disclosed to them by an affected person
- refer an affected person to the SHRP / Proctors / HR Director where the affected person can seek support and advice about reporting options
- make themselves aware of the services listed in Appendix 2 of this Procedure so that they might refer individuals looking for specific types of assistance and support;
- report to the SHRP / Proctors / HR Director if they witness sexual harm and do not know the affected person or become aware of an incident that promotes rape culture.

The Senior Management Group of the University will:

- maintain and communicate an ongoing commitment to combat the issue of sexual harm at Lincoln University
- foster a consent culture on campus
- work in close partnership with the SHRP, Proctors and HR Director on the interpretation and application of the Sexual Harm Policy and Procedure;
- support the SHRP, Proctors, HR Director, and other staff working in the sexual harm area to access ongoing specialist training;
- provide appropriate resourcing to underpin the work, training, service delivery and professional supervision necessary to operate the service at a good level;
- ensure that training opportunities related to sexual harm and the processes for handling incidents and complaints are made available for all employees of the University.

15. RELATED POLICIES AND PROCEDURES

Sexual Harm Procedure

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[Discipline Policy and Procedure \(staff\)](#)

[Student Discipline Regulations](#)

[Prevention of Bullying and Harassment Policy](#)

[Prevention of Bullying and Harassment Discrimination Guidelines](#)



APPENDIX 1: DEFINITIONS

Affected person: An individual who has been subjected to sexual harm. They are referred to as a complainant when / if they make a complaint under this Policy and Procedure.

Complainant: In this instance, the person making a complaint of sexual harm is referred to as the complainant.

Consent: The active, ongoing, informed, specific and freely given agreement in response to a request to engage in physical contact or sexual activity. Consent cannot be given by someone who is incapacitated (such as by drugs or alcohol), unconscious, or otherwise unable to understand and voluntarily give consent.

Disclosure: When someone chooses to inform a Lincoln University community member about an incident where they were subjected to sexual harm.

Lincoln University community: Students (those enrolled in full- or part-time degree programmes, diplomas, certificates or other courses), Lincoln University employees, contractors, appointees and volunteers.

Person Accused: A person who has been accused of committing sexual harm. They are referred to as a respondent when a complaint is made against them under this Policy and Procedure.

Procedural fairness: Provides parties with a fair process for resolving disputes. The process requires transparency, equal communication and fairness.

Proctor: The Vice-Chancellor shall appoint a Proctor or Proctors who will be responsible in the first instance for the investigation of complaints about breaches of discipline as defined in the Student Discipline Regulations and other relevant policies and procedures of Lincoln University.

Rape culture: A culture in which dominant ideas, social practices, media images, and societal institutions implicitly or explicitly condone sexual assault or harassment by normalizing or trivializing sexual harm and by blaming affected persons for their own abuse.

Respondent: When a complaint is made under this Policy and Procedure for initiating an investigation/adjudication, the person accused and whom the complaint is made against is referred to as the respondent.

Sexual assault: Any kind of sexual contact initiated without actively seeking and ensuring mutual consent. It includes, but is not limited to, unwanted kissing, touching of private body areas, fondling, oral or anal sex, intercourse, or other forms of penetration, or any other unwanted act of a sexual nature.

Sexual harassment: Ongoing persistent unwanted remarks, behaviours, or communications of a sexually oriented nature or negative behaviours or communications based on gender that promote gender-based harm, – where the person responsible for the remarks, actions, behaviours or communications knows or ought reasonably to know that these are unwelcome. Sexual harassment may consist of unwanted attention of a sexually oriented nature such as personal questions about one's sex life, persistent requests for a 'date', or unwelcome remarks about someone's hair, body shape, etc. Sexual harassment may also consist of unwelcome remarks based on gender which are not of a sexual nature but which are demeaning such as derogatory gender-based jokes or comments.



Sexual harm: Any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, and is committed, threatened or attempted against a person without that person's consent. This includes, but is not limited to sexual assault, sexual harassment, stalking, indecent exposure, voyeurism, sexual exploitation, degrading sexual imagery, distribution of sexual images or video of a community member without their consent, and cyber harassment or cyber stalking of a sexual nature. It must be acknowledged that acts of sexual harm can also be acts of systematic oppression, including but not limited to sexism, racism, colonialism, ableism, homophobia, and/or transphobia.

Sexual Harm Response and Prevention coordinator (SHRP): The Vice-Chancellor In conjunction with the Director of People, Culture and Wellbeing shall appoint a Sexual Harm Response and Prevention coordinator who will be responsible for providing an initial safety, support, and advisory service for persons affected by sexual harm and also a follow up service linking affected persons to appropriate services for further support and investigation. The role of the SHRP is guided by the principle that the affected person will at all times be supported to make their own decisions regarding the reporting, support, and investigation services most appropriate to their needs at the time. The SHRP will follow procedures and processes outlined in the Sexual Harm Policy and Procedure policy and within the SHRP job description and any other relevant policies and procedures of Lincoln University. The SHRP will also develop education, training and prevention programmes such as Respectfully Lincoln in order to meet Lincoln University's commitment to reduce sexual harm. The services of the Sexual Harm Response and Prevention coordinator to an affected person will cease when said person is no longer needing these services or is no longer a member of the Lincoln university community.





Vice-Chancellor's Office

Version: 1.0

Council Appeals Committee Terms of Reference

Author/s: Amy Cradock

Date: 10 June 2020

Purpose

The purpose of this paper is to present the draft Council Appeals Committee Terms of Reference for approval.

Content

1. Executive Summary
2. Draft Council Appeals Committee Terms of Reference

Notes

The revised Student Discipline Regulations were approved at the May Council meeting. Those Regulations refer to the Council Appeals Committee.

The Council Appeals Committee Terms of Reference have been drafted to provide guidance to Council on the form and function of the Committee.

Recommendations

1. That ARC RECOMMEND Council approve and Council APPROVE the Council Appeals Committee Terms of Reference

POLICIES AND PROCEDURES



Council Appeals Committee Terms of Reference

Last Modified: New
Review Date: 1/09/2022
Business Owner: Vice-Chancellor
Approval Authority: Council

1. PURPOSE

- 1.1 The purpose of the Council Appeals Committee (**Committee**) is to hear and determine:
- Applications for leave to appeal;
 - An application for the review of the amount or extent of a penalty imposed pursuant to the Student Discipline Regulations and/or the imposition of that penalty; and
 - Any matter referred under clause 18.7 or clause 25.4 of the Student Discipline Regulations.

2. COMMITTEE PROTOCOLS

- 2.1 An appeal must be lodged in writing, supported by such evidence as the appellant sees fit, with the Committee Secretary within ten working days of the communication to the student of the decision appealed against, or sought to be appealed against, or such longer period as may be allowed by the Council.
- 2.2 Matters referred directly to the Committee under clause 18.7 or 25.4 of the Student Discipline Regulations will be dealt with in accordance with the principles of the Student Discipline Regulations, the Sexual Harm Policy and Procedure and/or any other relevant Lincoln University policy or procedure.
- 2.3 An applicant for leave to appeal shall have no right to be heard in person by the Committee, which shall consider applications for leave to appeal on the papers.
- 2.4 The Chairperson of the Committee shall have the power to regulate the procedure of the Committee. Subject to this discretion, in the interests of natural justice, the procedures set out in the Student Discipline Regulations for Disciplinary Committee hearings should be adhered to.
- 2.5 Where the Committee is hearing an appeal, such appeal may be, but not need be, a full rehearing of evidence.
- 2.6 The appellant, the respondent and any other member of the University who, in the opinion of the Committee, has a special interest in the proceedings shall be entitled:
- to be represented by counsel or some other appropriate person;
 - to be supported during the hearing by any appropriate person or persons; and/or
 - to be present throughout the hearing, except when members of the

Council Appeals Committee Terms of Reference

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Committee may wish to confer in private.

- 2.7 The Committee may seek advice and assistance from any legal or other expert person or body it considers appropriate. It may co-opt additional members to the Committee if required. It may also seek advice on instances of alleged disciplinary breaches from the Executive Committee of the Lincoln University Students' Association.
- 2.8 The Committee may:
- exercise its powers without confirmation by the Council;
 - in its absolute discretion, refer any appeal to the Council for a decision;
 - allow the appeal;
 - dismiss the appeal;
 - refer the matter back to the decision-maker for reconsideration, with or without recommendations; or
 - substitute its own determination on any matter arising in the appeal, including any findings and the imposition of any penalty or outcome.
- 2.9 The decision of the Committee is final.

3. MEMBERSHIP

- 3.1 The Committee shall comprise four members:
- The Chancellor or Pro-Chancellor;
 - A Council member nominated by the Lincoln University Student's Association;
 - A Council member nominated by the Council; and
 - An external legal representative appointed by the Council.
- 3.2 Each member shall have one vote.
- 3.3 The Council Secretary or his or her appointee shall act as Council Appeals Committee Secretary.

4. MEETING FREQUENCY

- 4.1 The Committee shall convene when necessary

5. LINKS TO PROCEDURE(S) AND OTHER RESOURCES

Student Discipline Regulations
Sexual Harm Policy and Procedure





Vice-Chancellor's Office

Version:

Academic Board Report

Author/s: Paula Morrison

Date: 11/06/2020

Purpose

To provide a summary of the Academic Board meeting held on 3 June 2020, and to present Lincoln University's mid-cycle progress report on the Cycle 5 Academic Audit.

Content

1. Executive Summary
2. Appendix 1: Full Academic Board report for March 2020
3. Appendix 2: Academic Board Terms of Reference
4. Appendix 2: Mid-cycle progress report on the Cycle 5 Academic Audit

Recommendations

1. That the Academic Board report is noted.
2. That Council approves the revisions to the Academic Board's Terms of Reference.

Executive summary

Introduction

The fourth meeting of 2020, held on Wednesday 3 June, was held via Zoom. Dr Hamish Cochrane and Ms Sonja Wilkinson were in attendance respectively for the COVID-19 update and the proposed changes to the Academic Transcript.

The agenda followed the usual protocol with reports from the academic committees, **Māori and Pasifika**, CUAP, and Academic Quality.

Progress achieved

- Amendments to the Graduate Profile of the Bachelor of Landscape Architecture, as recommended by the NZILA, were approved, along with changes to the LASC 321, a contributing course.
- Following extensive review and consultation, revisions to the Academic Integrity

- Policy and Procedures were approved.
- The final version of the mid-cycle progress report on the Cycle 5 Academic Audit were endorsed and the report will be sent to the Academic Quality Agency.
- Revisions to the Board's Terms of Reference were endorsed. Council approval is required.
- The Board approved the motion for Field Tours to be held during the mid-term break period.
- A proposal to include new and historical grades on the Academic Transcript was approved.

Appendix One

Vice-Chancellor's Office

Academic Board Report June 2020

The fourth meeting of the Academic Board in 2020, held on Wednesday 3 June, was held via Zoom.

The main agenda items are summarised below:

Learning and Teaching Committee

LTC met on 13 May 2020. The Committee endorsed the Proctor's proposal for revisions to the Academic Integrity Policy and Procedures, and a proposal from the Faculty of Environment Society and Design to amend the BLA graduate profile.

- A discussion of a proposal to amend the Learning & Teaching Committee terms of reference resulted in further suggested amendments. These, and minor amendments to Courses Committee terms of reference, will be considered at the next meeting.
- The Deputy Vice Chancellor, with advice from the LTC Chair, has revised the teaching capital expenditure allocation procedure, which now includes a formal evaluation template.
- Responsibility for CAPEX application approval has shifted from Learning Teaching and Library to the Learning and Teaching Committee.

Research Committee

The Research Committee met on 20 May 2020. They discussed COVID-19 and its impacts on research. Impacts are being recorded for future reference, and will also be part of the 6-monthly reports. The Committee is keen to promote a working group to review equity of promotion and progression across genders and ethnicity at Lincoln University and to determine a mechanism to positively address the imbalance.

Māori and Pasifika

The AVC Māori and Pasifika reported that the monitoring and tracking assessment outcomes is a key focus, with staff collating in-term assessment marks to assess students who may require support leading into Semester 1 exams and course options for Semester 2.

Requests for general translations, translations of documents, roles, signage and business units are being forwarded to Te Taumutu Rūnanga who are keen to be part of this process, particularly in the naming buildings, parts of buildings and roles.

Discussion with Faculties are planned for programmes that are open to including Māori content through the use of external experts.

The team is actively promoting enrolment to both Māori and Pasifika communities due to enquiries from school leavers who want to enrol at Lincoln University in Semester One.

Two of the committees focused on Māori and Pasifika at Universities New Zealand - Te Kahui Amokura (DVC/AVC Māori) and Komiti Pasifika - are now meeting

fortnightly. **There was some concern regarding the seemingly lack of support for Māori and Pasifika students at Universities with most of the COVID-19 funding geared predominantly at lower level education.**

Academic Administration Committee

AAC met on 22 April 2020. Throughout the escalation of the national response to COVID-19 and its impact on Lincoln University students, AAC has worked with the Coronavirus Academic and Student Experience Working Group to implement academic management plans for the University, with successive academic management plans written and implemented for the period January-May 2020. At its April meeting the committee approved the following initiatives:

- All students deemed to have experienced a mild to moderate impairment due to COVID-19 for all semester one assessment
- COVID-19 aegrotat application category remains available for moderate to severe impairment
- Final course marks to be scaled against historical norms if lower than historical norm for course
- The following new grades available for students to opt into following release of semester one results:
 - PDD Pass During Disruption. Available for course grades C- through to A+
 - NRDD No Recommendation During Disruption. Available for D, E and F grades
 - WDN The option to withdraw from enrolment in a course will also be available for all of semester one and the three-week period following the release of results.
- No exclusion of students following the Academic Progress Review and no noting of warnings on student record.

A plan has been put in place for the management of any issues arising for students enrolled in dissertations or research placements in the current environment. This has led to a month-long extension to the dissertation submission date for honours students in AGLS degrees.

Three sets of guidelines have been prepared for students and examiners. This was a major piece of work representing the culmination of the academic management process for the semester. Its creation and dissemination was made possible by the high degrees of collaboration and cooperation between different work areas of the university, some of whom would not normally have worked together. The Convenor would like to acknowledge the contributions of her colleagues that have made this possible.

Since it is highly likely that all administrative processes associated with Emergency Remote Teaching in semester one, including the delivery of all assessment through LEARN, will carry over into semester two, the Convenor considers that AAC is well placed to quality assure the semester two results based on all that we have done and learned this semester.

Online attendance by the Convenor, at a number of ATEM (Association for Tertiary Education Management) discussions to review variation of practice to policies and procedures under COVID-19 indicate our actions align with other institutions.

Academic Quality

A new addition to the Academic Audit report portfolio is the introduction of a mid-cycle progress report on the University's responses to the Cycle 5 recommendations. AQA intends this to be a public report. The final report was presented to the Board for endorsement, following approval from the Acting Vice-Chancellor. After a few minor

amendments are made, the report will be sent to AQA.

A series of minor revisions were made the Board's Terms of Reference, and these are presented to Council for final approval.

Field Tours

Following an extensive period of discussion, review, and consultation on the part of the Field Tour Working Group and Faculties, Academic Board approved a motion that all field tours will take place within the mid-term breaks. Further work will be undertaken to review the function and purpose of the mid-term break as a period of learning rather than a holiday.

Academic Transcript

The Board approved amendments to the Academic Transcript which includes new grades introduced under COVID-19 and historical grades.

Appendix Two

Vice-Chancellor's Office

Academic Board Report June 2020

Academic Board: Terms of Reference

Academic Board endorsed the following revisions to its Terms of Reference at its 3 June 2020 meeting, namely:

- 5.1.4 Assistant Vice-Chancellor Teaching and Learning amended to *Assistant Vice-Chancellor Learning and Teaching*
- 5.1.9 Director Library, Teaching and Learning amended to *Director, Learning, Teaching and Library*
- 5.1.13 Deletion of *Postgraduate Director*
- 8 Addition of the *Academic Administration Committee* to the list of Committees of the Academic Board.

RECOMMENDATION

That Council approves the revisions to the Academic Board's Terms of Reference.

POLICIES AND PROCEDURES



Academic Board Terms of Reference

Last Modified:	June 2020
Review Date:	June 2021
Approval authority:	Council
Contact Officer:	Chair, Academic Board

1. CONSTITUTION

- 1.1 Section 182 of the Education Act 1989 requires the Council to establish an academic board (the "Board") comprising the Vice-Chancellor and members of the staff and students of the University to:
 - 1.1.1 Advise the Council on matters relating to courses of study or training, awards and other academic matters (S182(2)(a)); and
 - 1.1.2 Exercise powers delegated to it by the Council (S182(2)(b)).
- 1.2 The Board is deemed to be a committee of the Council (S182(2)(b)).
- 1.3 The Council is required by S182(4) to request and consider the Board's advice before making any decision or regulation in respect of any academic matter referred to in clause 1.1.1 above.

2. KEY FUNCTIONS / TERMS OF REFERENCE

Having regard to the Lincoln University Investment Plan and Council policies:

- 2.1 To monitor, develop and implement academic policy;
- 2.2 To advise the Council via the Vice-Chancellor, on matters relating to programmes of study or training, awards and other academic matters including particularly:
 - 2.2.1 the establishment and disestablishment of academic programmes at the University;
 - 2.2.2 revision of any programme, course or general regulations.
- 2.3 With regard to programmes of study:
 - 2.3.1 to monitor programme and course quality;
 - 2.3.2 to maintain programme schedules
 - 2.3.3 to note that the exception to 2.3 and sub-clauses being that the approval of examination results and personal courses of study are within the remit of the Academic Administration Committee.
- 2.4 To recommend to the Council via the Vice-Chancellor, the award of degrees, diplomas and other University qualifications.
- 2.5 To monitor and report to Council via the Vice-Chancellor, on the quality and quantity of research in the University.



- 2.6 To monitor and report to Council via the Vice-Chancellor, on the quality and quantity of teaching in the University.

3. BOARD PROTOCOLS

- 3.1 The Board may establish either standing committees and/or ad hoc working groups as appropriate.
- 3.2 The Board will have the power of its own motion or may act on the recommendation of any of its members or of any Vice-Chancellor's or Board committee or working group.
- 3.3 Academic Board meetings are governed by the Local Government Official Information and Meetings Act 1987. Meetings of the Board are public meetings as defined in that Act.

4. CONDUCT AT ACADEMIC BOARD MEETINGS

- 4.1 Board members are expected to engage in constructive and collegial debate, contribute their particular expertise and experience, and to make decisions in the best interests of the University as a whole.
- 4.2 No member of the Board shall be disrespectful in speech or use offensive or malicious language.

5. MEMBERSHIP

5.1 Ex Officio

- 5.1.1 Vice-Chancellor
- 5.1.2 Deputy Vice-Chancellor
- 5.1.3 Assistant Vice-Chancellor, **Māori** and Pasifika
- 5.1.4 Assistant Vice-Chancellor, Learning and Teaching
- 5.1.5 Dean, Faculty of Agribusiness and Commerce
- 5.1.6 Dean, Faculty of Agriculture and Life Sciences
- 5.1.7 Dean, Faculty of Environment, Society and Design
- 5.1.8 Director, University Studies and English Language Division
- 5.1.9 Director, Learning, Teaching and Library
- 5.1.10 Convenor, Academic Administration Committee
- 5.1.11 Chair, Learning and Teaching Committee
- 5.1.12 Chair, Research Committee
- 5.1.13 Academic staff member of Council

If any Ex-Officio member is appointed Chair, their position on the Board may be filled by a nominee.

Elected

- 5.1.14 One Professor elected by each Faculty (3)
- 5.1.15 One academic staff member elected by each Faculty (3) (non-professorial)



- 5.1.16 One academic staff member elected by the Division (1)
- 5.1.17 Three persons, nominated by LUSA, who should be broadly representative of the student community (3).

Note: where an individual member hold more than one position above, membership is only counted once in terms of voting rights and quorum.

6. CHAIRPERSON

The Academic Board will be chaired by the Vice-Chancellor or nominee (as determined by the Vice-Chancellor).

7. QUORUM

The Board will be quorate when one more than half of the total current membership is present.

8. COMMITTEES OF THE ACADEMIC BOARD

Without limiting clause 3.1, the Committees of the Academic Board are:

- Learning and Teaching Committee (with Courses Committee reporting thereto)
- Lincoln University Research Committee
- Academic Administration Committee

9. MEETING FREQUENCY

The Academic Board will determine the frequency with which it meets, with no fewer than six scheduled meetings per academic year.

10. SECRETARIAT

Academic Quality and Policy Manager, Vice-Chancellor's Office or nominee.



Appendix Three

Vice-Chancellor's Office

**Academic Board Report
June 2020**

Mid-cycle progress report on the Cycle 5 Academic Audit

A new addition to the Academic Audit report portfolio is the introduction of a mid-cycle follow-up report on the University's responses to the Cycle 5 recommendations. AQA intends this to be a public report.



Lincoln University Academic Audit Cycle 5

Mid-Cycle Report June 2020

This report summarises the progress in addressing the recommendations following the Cycle 5 Academic Audit Report.

The methodology used to review and action the recommendations was a desktop review undertaken by the Academic Quality and Policy Manager, and reviewed by the Assistant Vice-Chancellor Learning and Teaching, Assistant Vice-Chancellor **Māori and Pasifika**, the University Proctor, **Convenor Academic Administration Committee**, and approved by the Acting Vice-Chancellor and the Academic Board, which includes three student voice representatives.

Contextual Statements from 2016 and 2017

2016: Context to Cycle 5 Academic Audit portfolio submission and site visit

*Prior to the submission of the University's Academic Audit Portfolio in April 2016, a new Vice-Chancellor had been in the role for two months, and changes to the senior management structure were underway. The cohort of Deputy Vice-Chancellors in situ at the time the body of the portfolio was written had since departed, including the Deputy Vice-Chancellor **Māori and Communities**, which impacted the progress of the Whenua Strategy.*

A report commissioned by TEC and undertaken by EY on the future status of Lincoln University had suggested a range of possible options from closure to merger. The University chose to implement the 'Refreshing Lincoln' project – a multi-layered programme - designed to improve organisational culture and performance to position the University for growth and sustainability. Alongside this project, a Transformation Board was established to provide advice and recommendations to University's Council on the institution's future strategic direction.

December 2017: Post Audit Context: Follow-Up report

*A senior management team has now been in place for 18 months, consisting of: Chief Academic Officer, Chief Operating Office, **Chief Commercial Officer and Director Kaiārahi Māori**, all directly reporting to the Vice-Chancellor.*

*In July 2017, the Telford Division was transferred to the Taratahi Agricultural Training Centre. The transfer impacted **the University's Māori student numbers**. However the appointment of the new **Director Kaiārahi Māori** has seen the **introduction of a comprehensive recruitment plan for Māori and Pasifika students**.*

The Director Kaiārahi Māori updated the goals and performance measures for the Whenua Strategy, and also established a Motu Strategy Working Group to review, develop and design the Strategy's objectives, milestones and implementation for Pasifika students.

The Refreshing Lincoln project has progressed changes to academic offerings, blended learning opportunities, organisational culture and internal economies.

In November 2017, the Transformation Board published its report which has been endorsed by the University Council. The report has set a strategic direction for the University with a vision to become a globally ranked top five university in agriculture, and a top five New Zealand university.

Current context: Mid-cycle report June 2020

There have been changes to the senior management team since the December 2017 report.

Emeritus Professor James McWha replaced Professor Robin Pollard as Vice-Chancellor from March 2018 until December 2018. In January 2019, Professor Bruce McKenzie was appointed Acting Vice-Chancellor through to June 2020 and, as of 1 July 2020, has been reappointed through to 31 December 2021.

The senior management team is currently comprised of: Deputy Vice-Chancellor, Assistant Vice-Chancellor Māori and Pasifika, Assistant Vice-Chancellor Learning and Teaching, Chief Operational Officer, Executive Director Campus Life, Executive Director People Culture and Wellbeing, all of whom report to the Acting Vice-Chancellor.

Refreshing Lincoln

Subsequent to the Transformation Board report in 2017, Lincoln University focused on governance and management capability and capacity, particularly on skills and experience required for transformational change. The University also redefined its course offerings and enabled new ways of student focused learning, including implementing flexible majors, online delivery and joint academic programmes with domestic and international partners. While Lincoln University made good progress on improving its performance, it still faced significant challenges. To address these challenges the University initiated a strategic planning process in 2018, resulting in the Lincoln University Strategy 2019-2028. The Strategy serves to provide a strategic structure and a process on what needs to be done for the University to achieve its vision – to be a globally-ranked, top-five land-based University, unlocking the power of the land to enhance lives and grow the future. The strategy includes two work-streams, Shaping and Growth, with six new strategic goals and supported by four plans – Research, Education, Māori, and Partnerships.

Enhancement Theme

To embrace and engage with the Cycle 6 Academic Audit Enhancement Theme, Lincoln University decided to respond to both the Enhancement Theme topic and the recommendations from Cycle 5, as the Enhancement Theme Steering Group were cognisant of the inter-relationship between the two. The specific enhancement theme objectives were identified in response to the Recommendations from the Cycle 5 Academic Audit. The new Lincoln University Strategy, approved by the Lincoln University Council after the commencement of the Enhancement Theme, **embodies the values of kaitiakitaka, manaakitaka, rakatirataka, tohutohu, wairuataka and whānaukataka**, and is supported in **part by a new Māori Plan**. Lincoln University acknowledges the stimulus provided by the Cycle 6 Enhancement Theme to the advancement of progress in recommendations 5 and 6.

Progress

Our progress in addressing the recommendations following the Cycle 5 Academic Audit Report is captured in the following table.

Council Agenda 30 June 2020 - Academic Board Report

Recommendation	December 2017 response	Mid-Cycle Progress update June 2020
<p>(1) <i>The Panel recommends that when the new management and committee structures are finalised the University review which academic decisions are taken at which level of the organisation and articulates and communicates to all staff a clear delegations statement for all academic decision-making</i></p>	<p>This recommendation was considered by the Delegations Working Group.</p> <p>The Lincoln University Senior Management Group was restructured in 2016 with the appointment of the following new roles: Chief Academic Officer, Chief Commercial Officer, Chief Operating Officer, Director Kalarāhi Māori and Strategic Advisor. An organisational chart is available to view on the intranet. Details of the Senior Management Group are also on the University's website.</p> <p>During 2016 the Academic Board undertook a review of its subcommittees in order to fulfil the Board's Terms of Reference and to provide equal prominence to research, teaching and learning. Two new subcommittees were established – the Learning and Teaching Committee and the Research Committee. The structure, purpose and composition of the Board and its subcommittees are outlined in the (draft) Lincoln University Academic Quality Framework document.</p> <p>In 2017 a Working Group of the Academic Board reviewed the Board's Terms of Reference. The proposed changes were circulated for staff consultation and feedback. Throughout October and November an election was held to fill seven vacancies for professorial and non-professorial positions. The final outcome was announced to the University on 21 November, and the new Board will meet for the first time on 31 January 2018.</p> <p>Also in 2017, the Delegations Policy was revised and updated. It now provides clear lines of authority of delegations at all levels across the academic, economic, financial and legal activities of the University. Staff with managerial roles are aware of the revised policy which is also available in the University's Policy Library.</p>	<p>The current Senior Management Group is comprised of: Deputy Vice-Chancellor, Assistant Vice-Chancellor Māori and Pasifika, Assistant Vice-Chancellor Learning and Teaching, Chief Operational Officer, Executive Director Campus Life, Executive Director People Culture and Wellbeing, all of whom report to the Acting Vice-Chancellor.</p> <p>An Organisational Chart is on the intranet (Hub) and also on the University's website.</p> <p>Under Professor Pollard's tenure, the Academic Administration Committee had been designated as a VC committee. In 2019, AAC was re-designated as a subcommittee of the Academic Board. Both sets of Terms of Reference were updated to reflect this change.</p> <p>The Delegations of Authority Policy was modified to reflect a variety of changes in June 2018, and is scheduled for another review in 2021. All policies and procedures are available in the University's Policy Library.</p>
<p>(2) <i>The Panel recommends that the University expedite the implementation of the Policy Refresh Project and ensure that all academic</i></p>	<p>An Academic Policy Working Group had been established prior to the audit report to review academic policies as well as a related policies from the Teaching and Learning, and Scholarships areas.</p>	<p>The Planning Office maintains an overarching view of the Policy suite, and reports quarterly to the Audit and Risk Committee (of Council) on any overdue policies. Policy Leads provide information on the status of these and anticipated progress.</p>

Council Agenda 30 June 2020 - Academic Board Report

<p><i>policies and procedures which have not been reviewed since 2010 be reviewed and, if necessary, revised by the end of 2017 and that henceforth all academic policies and procedures be reviewed within five years of the previous review.</i></p>	<p>Subject matter experts were also called upon to provide comment on specific and related policies, e.g. the University Proctor, Director Kaiarāhi Māori, Examinations Office staff and HR staff.</p> <p>An overarching Policy Framework Steering Group, chaired by the Planning Manager and comprised of the policy leads in each area (Academic, Business, Finance, Governance, Health and Safety, Human Resources, Information Technology, Infrastructure, Research) met on a monthly basis to report progress in each area, discuss any issues and provide feedback.</p> <p>The Academic Policy Working Group met on a monthly basis. Policies, procedures and guidelines were reviewed, refreshed and updated. Three policies were retired, some were converted to procedures or guidelines, and some merged to create new policies.</p> <p>Following review by the Academic Policy Working Group, revisions were sent to Faculty Teaching Committees for feedback and some included pan-university consultation and feedback. All revisions were reviewed and endorsed by either the Learning and Teaching Committee or the Academic Administration Committee. There was student representation on all committees. Approval of the final versions were granted by the Academic Board. Other policies were approved directly by the Vice-Chancellor. (Note: the University's academic subcommittees <i>endorse</i>, i.e. declare their support of, whilst <i>approve</i>, i.e. to officially accept, is confined to the Academic Board, the Vice-Chancellor and/or the Council.)</p>	<p>The University implemented an automated system within SharePoint that emails the Business Owner and Policy Author 90 days prior to a review falling due. The Policy Author amends the status of the policy on the website to Under Review, and progresses review of the policy through the appropriate approval authorities / committees.</p> <p>A Policy Steering Group, chaired by a Business Analyst from the Planning Office, meets every few months, and also circulates new policies for comment and feedback.</p> <p>Most policies are on a 2-3 year review cycle, and the automated system as well as the regular reporting ensures the reminders for reviewing policies are not overlooked.</p>
<p><i>(3) The Panel recommends that future strategic plans (including plans related to teaching and learning) include objectives related to student achievement and teaching quality, with key performance indicators</i></p>	<p>This recommendation was considered by the Strategic Planning Working Group.</p> <p>Objectives related to student satisfaction and teaching quality have been established and are documented through the Lincoln Measures 1-5 (in particular LM 3: Assessment of final marks, student retention and employment outcomes in each programme) using TEC definitions within SDR and employment outcome data which provide strategic financial and non-financial performance targets and measures, and views the organisation from</p>	<p>Student satisfaction and teaching quality continue to be reported on in the Annual Report and Investment Plan.</p>

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<p><i>which inform academic quality assurance processes.</i></p>	<p>four key perspectives, across KPIs in the areas of Education, Research, Leadership and Strategic enablers.</p> <p>In concert with this, the Refreshing Lincoln programme positions the University for growth through a continuous improvement approach whereby the University can ensure (inter alia) that our academic offerings are current. Programme viability and attractiveness is based on evidence extracted from a SA matrix, comprised of Acceptability, Accessibility, Accreditation, Affordability and Appropriateness, against which programmes are assessed and ranked.</p> <p>The Academic Administration Committee reviews student achievement reports at its biannual examination meetings, along with examination reports from every department which includes a comparison of mean marks normally over the last three years. This Committee reports annually to the Academic Board.</p> <p>A further strategy related to student achievement and teaching quality is accessibility through blended learning designed to transform the student learning experience with the focus being student success. The impact of blended learning on the student experience will be evaluated via three mechanisms: evaluation system; comparison of online engagement; focus group feedback. Student representatives have also been gathering feedback on the impacts of blended learning developments.</p> <p>LTL has commenced a Learning Analytics project. The project introduces a new product - Intelliboard - which works with the existing Moodle system. Intelliboard will provide a range of data for students, academics and the teaching quality team. Students will be able to use Intelliboard to track their progress through a course and to compare themselves against other students. Academics will be able to see how students are engaging with the online teaching material. The Teaching Quality Team will be able to view data across the University to track student progress and how students are engaging with the teaching material. This project will continue in 2018, with regular reporting to Academic Board.</p>	<p>The SAs rubric, extracted from the Refreshing Lincoln programme, now forms the basis of the Business Plan for new programmes, which must be completed by the Faculty Dean and approved by the Deputy Vice-Chancellor prior to completing a CUAP proposal.</p> <p>The Academic Administration Committee continues to review student achievement and student progress. In 2019 an expanded Academic Progress Review following the examinations period was introduced, and includes sharing with programme coordinators information regarding students who have received an academic warning.</p> <p>The Student Experience Board (SEB) has provided feedback on the implementation of blended learning from student representative groups and via evaluation feedback (specifically the use of technology in courses). Targeted courses that implemented blended learning have provided focus group feedback that has also been included in the feedback to the student experience group. The SEB, alongside LUSA, have determined a number of initiatives to address with the implementation of blended learning across the University and further its acceptability with students (grade/progress indicators, minimum standards for the use of LEARN, lecture recording).</p> <p>The Learning Analytics project ran for one year and highlighted a number of factors that the University needed to address to be able to provide a meaningful range of data. Notably there was a need to ensure a consistent use of LEARN as the single source of</p>
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		<p>student grade data, as well as the need to implement a minimum standard for the use of LEARN as a learning environment. Both these factors would ensure that the range of data that is made available to students and staff are meaningful and used to inform progress and engagement. Subsequently both have been formulated for implementation across the University.</p> <p>The use of Intelliboard as a tool for collecting data was discontinued in 2018 due to budget restraints. However, smaller data harvesting initiatives have been investigated, such as Panopto engagement statistics and Moodle course reporting, and will follow the implementation of Gradebook and LEARN minimum standards.</p>
<p><i>(4) The Panel recommends that the University urgently address Recommendation 2 from the 2012 Cycle 4 academic audit regarding externality and benchmarking, by exploring opportunities for benchmarking academic practice and academic standards in order to identify and confirm good practice, to improve Lincoln academic processes where appropriate, and to ensure Lincoln student achievement is externally validated.</i></p>	<p>This recommendation was considered by the Benchmarking Working Group.</p> <p>The University acknowledges that – while it participated in a variety of benchmarking activities – there was no definition of benchmarking nor senior management oversight. The Chief Academic Officer is now the senior manager with oversight of academic benchmarking activities. The Chief Operating Officer has oversight of specific non-academic benchmarking activities. The University has focussed its academic benchmarking activities through the Learning and Teaching Committee, (a subcommittee of Academic Board) and through the Senior Management Group–Extended (SMG-E).</p> <p>A Benchmarking Working Group was established to explore and review the University’s academic and non-academic benchmarking activities. A Benchmarking Framework document was created that identifies the University’s numerous benchmarking activities and schedules, benchmarking partners – national and international – and identifies future benchmarking opportunities. The University is strategically focused on benchmarking itself against a range of international institutions (i.e. Wageningen University which is ranked no 1 in the world for agricultural science) who are similar in both scope and focus. The Framework document is owned by the Chief Academic</p>	<p>Ownership of academic benchmarking activities is now within the remit of the Assistant Vice-Chancellor Learning and Teaching. The activities continue to be focussed through the Learning and Teaching Committee, the Deans and Directors Committee and the Senior Management Group-Extended (comprised of SMG members, Deans, and Directors).</p> <p>The Benchmarking Framework document was merged with the Academic Quality Framework document, which is continually updated and edited. The document is housed on the Academic Quality page on the Hub.</p> <p>The Strategy 2019-2028 also outlines a series of benchmarking activities with expected KPIs.</p> <p>Lincoln University has used the ACODE Technology Enhanced Learning (TEL) benchmarking tool for the last 6 years with a report being presented to SMG every two years following an internal Benchmarking exercise and the biannual ACODE Benchmarking Summit. The Benchmarking Summit is a</p>

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	<p>Officer and managed by the Academic Quality and Policy Manager. It is a living document in the sense that will be continually updated and edited.</p> <p>The implementation and use of a variety of benchmarking tools is an ongoing project under the management of Director, Library Teaching and Learning.</p>	<p>collaborative gathering where Australasian tertiary institutions share best practice for TEL, evaluate progress towards implementing TEL, and provide guidance on the strategic implementation of E-learning.</p> <p>Every year Lincoln University participates in a copyright reporting tool comparative exercise alongside all other Universities in New Zealand. The use of copyright materials, tracking and reporting to Copyright Licensing NZ is evaluated for consistency as well as sharing of best practice.</p>
<p>(5) <i>The Panel recommends the University proceeds with development and operationalisation of the Motu Strategy and in particular explores how enrolment of domestic Pasifika students might be encouraged and their participation supported</i></p>	<p>This recommendation was considered by the Strategic Planning Working Group.</p> <p>A Motu Strategy Working Group has been established and has met to review, develop and design the Motu Strategy, including its objectives, milestones and implementation. The Group is comprised of staff across the University, led by the Director Kalarāhi Māori and includes the Director for University Studies and English Language (who is also Chair of the Academic Board), the Academic Programme Manager USEL, staff from Finance, Human Resources, Māori & Pasifika Student Support Coordinator, President of the Lincoln University Pacific Island Association and Director of Library, Teaching and Learning.</p> <p>Pasifika student data is now captured via a dashboard and reported monthly to Academic Board and Council. The focus is on ensuring that broad consultation is undertaken with Pasifika students, community groups and collaboration with the University of Canterbury and Ara who have recently published their respective Pasifika strategies.</p> <p>A separate physical space for Pasifika students has been identified as necessary.</p>	<p>The role of Director Kalarāhi Māori has been replaced by the Assistant Vice-Chancellor Māori and Pasifika.</p> <p>Whilst progress has been slower than anticipated, the Motu Plan continues to be developed in conjunction with the LUPISA (Lincoln University Pacific Island Association) Executive and the new Pasifika Support Coordinator, appointed in March 2020. Consultation is ongoing.</p> <p>An enhanced student experience and increased student achievement at the sub-degree, undergraduate and postgraduate levels have been, and continue to be, priorities in the University's Investment Plans and Strategies. These priorities are continued in the Māori Plan component of the 2019-2028 Lincoln University Strategy, thereby ensuring the objective has had visibility, currency and an applied metric.</p> <p>A key factor of that metric, boosted by the Enhancement Theme which provided a sharper focus, was the implementation of a Māori and Pasifika Achievement Monitoring Framework in 2018. The Framework continues to be an active and live monitoring of student achievement which activates intervention and engagement processes as needed, and advocates for the Māori and Pasifika student voice.</p>

		<p>Data (EPI rates, participation, 1st year retention, and course completion) continues to be captured via a dashboard and reported monthly to Academic Board and Council.</p> <p>In 2019, a specific scholarship for Pasifika students was introduced, the Lincoln University Fanua Scholarship, and there have been two recipients since.</p> <p>The University has not made as much progress around the acceptance of a Pasifika space as it would like. A dedicated space does exist however, for study, gatherings and has a kitchenette.</p>
<p>(6) <i>The Panel recommends that the University assess how best to implement the aspects of the Whenua matrix which pertain to programme content and pedagogy, recognising the particularities of programmes and capabilities of staff.</i></p>	<p>This recommendation was considered by the Strategic Planning Working Group.</p> <p>A Whenua Strategy Working Group has been established comprised of the Director Kalarāhi Māori, Kalarāhi – Māori and Pacific Support Coordinator, Māori Liaison Officer, the Tumuaiki of Te Awhioraki (Māori Student Association), the Academic Programme Manager USEL and staff from Library Teaching and Learning, Human Resources, Finance, and academic staff from the three Faculties.</p> <p>As part of its remit, the Working Group will assess Māori content in courses, while seeking to define what Māori content actually means and ensuring authentic connections which includes engaging with Māori organisations on programme and course content. One Faculty has already undertaken a project to assess the Māori content and pedagogy within three of their programmes. A further two are planned to be completed by the end of the year. The process of those reviews will be evaluated with a view to considering implementation elsewhere.</p> <p>Resources have been made available to renovate the Whare to make it a more attractive space for Māori students and initiatives are already underway to positively engage Māori students and staff.</p>	<p>The Whenua Strategy was reviewed as part of the Cycle 6 Enhancement Theme. This was completed and many of the pou have been incorporated into the new Māori Plan which supports the Lincoln University Strategy. Socialisation of the Māori Plan is continuing with a final version expected to be signed off by June 2020. Performance targets and progress will be measured via annual operational plans and KPIs, and reported by Senior Management (SMG) to Council.</p> <p>Subject specific scholarships were introduced in 2019 for Māori students which target first year students studying in Putaiao (Science), Tapoi (Tourism), Pakihi (Business), Ahuwhenua (Agriculture) and Mātauraka Māori (Māori courses). In 2020, an enhanced scholarship was also introduced also targeted at first year students, Tihi Kahuraki Scholarship, which covers both fees and accommodation. In the three years from 2017, scholarships for Māori increased from 1 to 25. Lastly, Lincoln University also entered into a joint scholarship with Ngai Tahu Property to support Ngai Tahu students studying the Bachelor of Land and</p>

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	<p>The Group will also review and fine-tune the Whenua Strategy and identify benchmarks and outcomes. A draft programme of activities through to 2020 and a platform for the Cycle 6 Audit is expected by the end of this year. This group will eventually transition to the Whenua Strategy Monitoring Group.</p>	<p>Property Management which includes mentoring and internships.</p> <p>Te Whare Whakakotahi underwent a complete refurbishment in 2018-2019, and it is now used by students to gather, study, eat and have noho during and in-between semesters. In 2019, the Whare was used to hold Café Reo each week, and the Cultural Competence workshops. Te Awhiorakai hold Māori student orientation sessions and mihi whakatau in Te Whare.</p>
<p>(7) <i>The Panel recommends the University complete its redevelopment of the programme review policy, procedures and guidelines to inform preparation for the review scheduled in 2017 and thereafter and explores how good outcomes of reviews might be shared across faculties</i></p>	<p>This recommendation was considered by the Academic Programmes Working Group.</p> <p>In 2016 the University implemented an Annual Academic Programme Review. This encompassed a review of all undergraduate and master's programmes. The reviews were undertaken by the Programme Coordinator, reviewed and approved by the relevant Faculty Teaching Committee and Dean. The review identifies any issues, ensures the Graduate Profile is fit for purpose, recommends enhancements or changes and includes feedback from the student voice. The 2017 review is currently underway with reports expected back by 1 March 2018.</p> <p>The outcomes from the Transformation Board Report, the University's strategic direction and potential changes at institutional level will inform the development of a refreshed cyclical academic programme review schedule. The design of the review cycle is intended to be a collaborative piece of work involving the Academic Quality Unit, Director LTL and Faculty Deans.</p>	<p>All taught Masters and Bachelor degree programmes continue to be subject to an Annual Academic Programme Review.</p> <p>An external review schedule of academic programmes has also been established through to 2022. Confirmation of the reviews that have taken place is reported to CUAP on an annual basis.</p>
<p>(8) <i>The Panel recommends that, in its revision of the Assessment Policy and its development of the Fourth Learning and Teaching Strategic Directions, the University address all forms</i></p>	<p>This recommendation was considered by the Academic Programmes Working Group.</p> <p>A complete revision of the existing Assessment Policy was undertaken, which has removed restrictions that required final examinations for all Lincoln University courses, and builds flexibility into the processes for the design and approval of assessment while still ensuring academic rigour. The new policy</p>	<p>The Assessment Policy and related Guidelines are due for review in October 2020 but with the current situation, will be reviewed ahead of schedule (June) by the Academic Administration Committee to take into consideration changes as a result of the COVID-19 situation.</p>

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<p><i>of assessment (not only exams) and give greater clarification to the expectations of academic staff regarding such matters as use of grading rubrics, criterion-referencing, pre- and post-assessment moderation and formative feedback to students.</i></p>	<p>reflects best practice and allows for the development of a wider range of assessment activities across courses. The policy revisions are complemented by the round of blended learning grants for 2017 from LTL in which existing courses are developed for flexible, blended delivery including online. These contribute to the Lincoln Measures concerning blended learning.</p> <p>The Learning and Teaching Committee is reviewing assessment as a whole - rubrics, formative and summative feedback, online, etc. – including the introduction of Gradebook which is expected to be a substantial piece of work across the University. This work will continue into 2018 and progress will be reported monthly to Academic Board.</p> <p>A new Learning and Teaching Strategic Directions document will be developed in 2018 once the University Council has agreed on a set of recommendations from the Transformation Board Report. The University is making a significant push in blended and online delivery, modern learning spaces (both physical and online) and a range of support mechanisms (i.e. learning analytics) to proactively monitor student retention initiatives.</p>	<p>The Learning Outcomes rubric for courses was revised in 2019, with the Knowledge, Skills and Values rubric replaced with 3-4 well-crafted learning outcomes that indicate what a student will be able to do at the end of the course; can be measured using carefully chosen action verbs; and are linked to assessment.</p> <p>Following the success of the Māori and Pasifika Achievement Monitoring Framework and a limited trial in one of the Faculties which included three Māori courses in 2019, GradeBook has been implemented across the University to monitor student in-term and end of term achievement to include all taura, with a particular focus on all first-year taura on campus.</p> <p>Blended and online learning continues to be a major focus as demonstrated by the launch of the Lincoln Connected: Blended and Online Learning project. Lincoln Connected aims to launch 6 new online programmes in the next two years and digitize student services and programmes.</p> <p>Learning spaces continue to be modernized to take advantage of new technologies. Classrooms have updated with video conferencing equipment and examiners have been trained in its use. Additionally, lectures are recorded and available for student review at a later time.</p> <p>Administrative arrangements have been adapted to support the Emergency Remote Teaching of Semester 1, 2020, by approval of the Academic Administration Committee and the COVID-19 Academic and Student Experience Working Group.</p> <p>The Blended Learning project has completed its third year of facilitating blended learning across a number of courses. A variety of blended learning initiatives have been designed into courses where elements of face to face and online learning activities are integrated to create a whole learning experience.</p>
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		<p>Academic staff have participated in training and mentoring for how to effectively teach within a course that has blended learning elements. Annually the University has showcased blended learning within courses where recent grant winners get to describe their experience of teaching/designing their blended learning courses.</p> <p>A number of TEAL (Technology Enhanced Active Learning) spaces have been designed and created on campus as trial rooms as well as technical teaching demonstrators. Following this, a roll out of similar spaces has begun with similar technologies being included within revamped lecture spaces, flat floor teaching spaces and laboratories. The use of movable furniture and a decentralised classroom layout has been implemented in a number of spaces to facilitate active learning.</p> <p>The increased use of video and digital media has been enabled through a number of initiatives. The implementation of a video management system (Panopto) has increased the availability of video for student learning alongside its ability to enhance the learning experience through transcription, inbuilt knowledge checking, word search and individualised note taking. A self-use video booth has been made available to all students so that they can record themselves or their assignments within a quality video/audio capture environment.</p>
<p>(9) <i>The Panel recommends that the University gives priority to reviewing its policies and processes for preventing and managing academic dishonesty, that it consider mechanisms for ensuring proven dishonesty allegations are recorded</i></p>	<p>This recommendation was considered by the Academic Integrity Working Group.</p> <p>The Policy and Procedure for Dishonest and Improper Academic Practice were reviewed, updated and approved by Academic Board, and are published in the Policy Library. The Course Outline template was redesigned and includes a specific section on Academic Dishonesty. The use of Turnitin by academic staff is strongly encouraged with a project commencing in 2018 to mandate its usage. This will be managed by the Director LTL.</p>	<p>The Policy and Procedure for Dishonest and Improper Academic Practice has undergone a series of reviews since 2017. Most recently the Proctor has undertaken an in-depth review and these changes are expected to be approved by the Academic Board in early June. The title of the policy has also been changed to the Academic Integrity Policy and Procedure.</p> <p>This revision includes a specific requirement that all instances of academic dishonesty are notified to the Proctor to ensure that</p>

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<p><i>confidentially, and that it also consider developing educative resources for both staff and students to ensure academic integrity in teaching, learning, assessment and research</i></p>	<p>Educative resources for staff and students are currently available through Library and Teaching Services. All formal examinations are invigilated and invigilators undergo training.</p> <p>All incidents involving allegations of dishonest academic practice continue to be recorded on a confidential database, accessible only by the Proctor. However, it is recognised that low-level offending is often dealt with by a single staff member, who, without access to the Proctor's database, may be unaware that the offending may be a repeated behaviour. With the review of the Student Management System (proposal to upgrade or replace anticipated April 2018), the new Proctor (to be appointed in 2018) will be expected to lead development in the area of using technical resources to log all offending.</p> <p>A presentation on academic integrity, offered by the Proctor, will be part of the new induction programme for academic staff.</p> <p>There are two Academic Integrity projects that will be carried forward into 2018:</p> <ul style="list-style-type: none"> ■ The Chief Academic Officer will review membership of the Working Group which will continue to function to implement a review of the Disciplinary Committee terms of reference and Discipline regulations. ■ The Director LTL is investigating the introduction of an online Academic Integrity programme – similar to that run by the University of Auckland via FutureLearn – which will be compulsory for all students. 	<p>repeat offenders are identified and that there is continuity between faculties. This ensures the Proctor has an overview of all offenders and any repeated behaviours.</p> <p>A Lincoln University Student Code of Conduct has also been developed to allay a concern that many of the policies and procedures to which students are accountable were not easily available to them in an accessible fashion. This document is now on the Learn Page where all students can see it, and is also available through the policy library on the public web site.</p> <p>The Course Outline Policy and accompanying template will initially be reviewed by the Learning and Teaching Committee in July, to take into account changes made to the Learning Outcomes. The review is expected to take several months to provide for staff and student consultation.</p> <p>The Academic Integrity Working Group was disbanded in 2019, and the Discipline Regulations were added to suite of academic policies. Revisions to the Discipline Regulations were approved by the Council on 26 May 2020.</p> <p>Following the departure of the previous Director LTL, implementation of an online Academic Integrity programme was put on hold. A new Director commenced in January 2020, and investigations into a programme has been delegated to the Head of Department of Academic and Career Skills. The Department has been developing a set of online educational resources. As well as being available to students for independent use, the resources can be used by staff to underpin assessable modules.</p> <p>(Note that, in 2019, Lincoln University appointed two new Proctors.)</p>
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<p>(10) <i>The Panel recommends that the University urgently review, refresh and refine its provisions for appeals and its procedures for appeals, academic grievances and complaints.</i></p>	<p>This recommendation was considered by the Academic Programmes Working Group which, in the main, was comprised of the members of the Learning and Teaching Committee, as well as the Academic Policy Working Group.</p> <p>The Student Appeals, Complaints and Grievances policy and procedure underwent a comprehensive series of review and refinement, in conjunction with the Proctor and Human Resources (in relation to the Ethical Behaviour Policy). A revised version was presented to the Academic Board on 11 October and further refinements were recommended. These refinements were reviewed by the Convenor Academic Administration Committee, Academic Quality and Policy Manager and the HR Project Manager, and the final version was approved by Academic Board on 15 November 2017. It is worth noting that the revised policy and procedures have since been tested and were found to be appropriate.</p>	<p>The Student Appeals, Complaints and Grievances Policy remains in place and is scheduled for a review in November 2020.</p> <p>The Student Appeals, Complaints and Grievances Procedure was reviewed and revised ahead of time (November 2020 was the original date) in March 2019 with the process further streamlined and updates made to roles. This is scheduled for a review in 2022.</p>
<p>(11) <i>The Panel recommends that in reviewing its policies and procedures the Human Resources department ensure there is a clear statement of institutional expectations regarding the academic and general induction of new staff, including contract staff, and develops an induction framework which will foster consistent practice across the University.</i></p>	<p>This recommendation was considered by the Research, Teaching and HR Working Group.</p> <p>The introduction of formal mentoring systems has been evaluated by the individual Faculties as well as the HR department of the University. Induction is conducted within each Faculty according to an HR induction schedule.</p> <p>A revision to the Induction Policy is currently under consideration by the Chief Operating Officer. The policy sets the expectations of managers, academic heads and staff members in relation to their responsibility to conduct an effective induction programme for all new staff (including casual and fixed term). The policy states that <i>"The objective of the programme is to accelerate the acquisition of knowledge and resources which new staff need to perform competently and to feel connected with the University."</i></p> <p>The project of implementation of a centralised induction process will be rolled out in 2018. The induction process factors in the inclusion of the Proctor in relation to ensuring issues around academic integrity, identification and consequences of plagiarism, dishonest and inappropriate behaviour (refer Recommendation #9).</p>	<p>An Induction Programme was introduced from 2018 with the implementation of an Induction Policy, publication of an Employee Induction Booklet and Manager Induction Guidelines together with the commencement of a system whereby all new staff are invited to an 'Introduction to Lincoln University' session. The session occurs on a fortnightly basis with new staff members receiving a 'check-up' from HR after their first 3 months.</p> <p>The Employee Induction Booklet contains comprehensive information for all new staff including a checklist which the employee works through with their line manager.</p> <p>The Manager Induction Guidelines also contain checklists for managers to ensure they cover all relevant information prior to commencement and in order to provide support to the new employee for the first 6 months of employment.</p>

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<p><i>(12) The Panel recommends the University continue its review of workload models used in academic departments and faculties, and endeavours to develop a set of principles which can be adopted across the University.</i></p>	<p>This recommendation was considered at the Research, Teaching, and HR Working Group.</p> <p>The Chief Commercial Officer and Chief Academic Officer have been identified as the senior Managers responsible for the Workload Model implementation.</p> <p>Lincoln University commenced a Workforce Analysis project conducted as part of the Refreshing Lincoln Programme. The 2017 outcomes are currently being reviewed and the findings are scheduled to be presented to the Senior Management Group in November 2017.</p> <p>Following the implementation in 2017, the Workload Model will be owned by the Chief Academic Officer and administered by the Academic Finance Business partner. The model will be updated annually and utilised as a tool for Deans and Heads of Departments to better achieve research and teaching outcomes. Furthermore, the Workforce Analysis may be used by the Human Resources department to form a range of recommendations for changes in policy and management.</p>	<p>A project was initiated by the Deputy Vice-Chancellor to develop a generic workload allocation resource model to be used consistently across faculties, centres and divisions, was initiated in Q4 2019.</p> <p>Initial model tested for allocation to key areas of teaching, service and research was completed Q1 2020, but placed on hold due to COVID 19 impacts.</p> <p>Further testing and refining will occur during Q3 and Q4 2020, with implementation in 2021.</p>
<p><i>(13) The Panel recommends that the University review its orientation offerings targeted at PhD students and consider formalising the buddy system so that it can be monitored and is available for all research students, but especially for international students and students new to Lincoln.</i></p>	<p>This recommendation was also identified during the self-review phase of the PhD review.</p> <p>Recommendations in the PhD self-review documentation are concerned with greater guidance in terms of appropriate academic supervision as well as pastoral care. The nature of these concerns were raised with the external PhD review panel which met in early July, and are part of the implementation recommendations. The report also identified the need for both academic and social support for PhD students. Currently these are managed through existing processes.</p> <p>The final report from the External Review Panel was presented to the Academic Board in November which approved a series of recommendations. Recommendation 9 (Provide more support for postgraduate students. This</p>	<p>Following the discontinuation of the Postgraduate Director role, academic, social and pastoral support for PhD students will be managed through Faculty and Research Centre Postgraduate and Research Committees and processes.</p> <p>A working group was established in 2019 to complete the implementation of the recommendations of the PHD review process (with special attention given to the PhD house rules and the role of postgraduate reporting processes). The current house rules, together with the reports from the internal and external PhD review panels, were distributed to this group for evaluation and prioritisation of the key aspects to focus on within 2019.</p>

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	<p><i>should include social support and academic support</i>) was amended to include pastoral support. It was noted that while feedback from university staff supported increased support for postgraduate students, there was not the same level of support to formalise the existing buddy system.</p> <p>The recommendations will be implemented by semester two 2018 by the PhD Review Implementation Committee (as a sub-committee of the Academic Administration Committee) and will be chaired by the Convenor, Academic Administration Committee.</p>	<p>The working group met several times during 2019 and most latterly in January 2020 where a revised set of PhD house rules was evaluated which reflected the wishes of Academic Board in 2018 to allow non-Lincoln University staff to become main supervisors of PhD students.</p> <p>At this meeting, resource requests for the implementation of priorities for a Postgraduate School vision (proposed in the PhD review documentation) was requested, and the DVC agreed to develop a process of implementation with SMG.</p> <p>Three important aspects which have been amended in the PhD House Rules include:</p> <ul style="list-style-type: none"> ● "suspension" replaced with "deferral" ● A mid-term PhD assessment at 18 months. Whilst this is standard procedure amongst many supervisors, there was no formal request for such a review in the previous PhD House rules. ● Simplification and flexibility as to whom can become a supervisor. <p>There have been two new roles created specifically to cater for the wellbeing needs of students, who provide additional pastoral care to students and act as a connection point between students, Faculties and LUSA.</p> <p>The final report of the PhD review was approved by Academic Board in April 2020.</p>
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**LUSA Report
30th June 2020**

Kia ora koutou.

Further to the last LUSA report, we have now reached 260 applications for support through the LUSA Hardship Fund and have paid out around \$80,000 to students for COVID-19 related hardships. LUSA co-hosted a massively attended International Students Support night with Selwyn Civil Defence on the 11th of June. This evening was an opportunity for around 400 students and their families to talk with key support staff from Lincoln University including Careers, Wellbeing and the International Support Team. Civil Defence provided free warm blankets and several charity groups assisted with providing warm second-hand clothing, LUSA and Civil Defence also provided all attendees with dinner. The event was hugely appreciated and LUSA will be continuing with keeping a close relationship with the team from Civil Defence.

At the last Council meeting it was highlighted in the LUSA report that new International Students will really struggle to find jobs in the post COVID economy. Further to this point I think it is important for Council to note the following information that Student Job Search have recently highlighted to LUSA (This is based off data for the Middle & Upper South Island).

- o Jobs listed and placements are currently at 50% of pre COVID levels.
- o Earnings by students in jobs is also at around a third of the pre COVID norm.
- o Numbers of jobs being advertised and placements are slowly increasing.

This highlights that students – both domestic and international – will be feeling the economic restrictions of COVID. LUSA will be continuing to work with Student Job Search to ensure that our students have access to jobs, and know about what Student Job Search offer.

Currently, submissions are open for the Parliament Select committee into student accommodation. It is important that council note that LUSA will be making a submission to this, and will be requesting a supplementary oral submission as well. LUSA have been running a very simple survey for students about their halls experience and this will help shape the submission that will be made. We will make our written submission public to the students and will be sharing the submission with key Lincoln University staff as well.

It is a relief to be returning to some normal business for LUSA, with the Executive setting the dates for the 2020 LUSA AGM and elections in the last month. Students are looking forward to returning to campus for the second semester, and LUSA are well in the midst of planning our Re-Orientation package to welcome them back. Unfortunately due to the significant reduction in the Student Service



Fee payment to LUSA, caused by the re-estimation of EFTS for 2020 due to the impact of COVID, we have had to cancel our Winterball event after 2 years of selling out. This is hugely disappointing, however the financial strain it puts on LUSA to deliver this event would have jeopardized what we would be able to offer for the remainder of the semester and also our Garden Party. However, we are going to be offering students the chance to utilise the ground floor of Forbes for the first time during Re-Oweek, along with having a Clubs and Markets day to rival our Semester 1 offering. Importantly, this will give all students on campus a chance to re-engage with campus life and the student experience at Lincoln.

Ngā manaakitaka,

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Vice-Chancellor's Office

Version: 2

Lincoln University Human Ethics Policy Review 2020

Author/s: Grant Tavinor

Date: 12/06/2020

Purpose

The Lincoln University Human Ethics Committee policy is due for review in 2020. It has been revised to improve the operation of the committee and accreditation requirements of the Health Research Council.

Content

1. Revised Lincoln University Human Ethics Policy

Issues

We would like the revised policy to be approved by Council so that it can be supplied to the Health Research Council to satisfy their requirements for continued accreditation of LUHEC.

Recommendations

That Council APPROVE the revised Lincoln University Human Ethics Policy.

Executive summary

Introduction

The Lincoln University human ethics policy was due for review in 2020. The review was conducted by a sub-committee from February to June 2020. The following numbered sections of the policy were amended (these are highlighted in the attached policy). Commentary follows the revised entry. Several of the resulting changes reflect requests by the Health Research Council to revise our practice to meet the requirements for continued accreditation. Others follow from issues discovered during the operation of the committee.

6.1.6

This section was revised to reframe a previous policy statement in a way that more positively identifies those aspects that will bring an organisational research activity within scope of the LUHEC's reviewing remit. These involve cases where information of a personal nature is collected; where participants are identified; where there is a potential relationship of dependence between researcher and participants; and where activities have a research component that may lead to publications.

8.2 Informed and voluntary consent

This section was revised at the request of the HRC to bring our policy into line with the recent revisions of the National Ethics Advisory Committee's guidelines regarding informed consent.

8.3 Privacy and confidentiality

This section was revised at the request of the HRC to bring our policy into line with the recent revisions of the National Ethics Advisory Committee's guidelines regarding privacy and confidentiality.

8.5 (3)

After advice from our legal representative, additional requirements were added for the information provided on Research Information Sheets regarding risk of injury that would not be covered by ACC.

8.7

Additional detail was added to these sections to recommend that applicant seek meaningful engagement with Māori and acknowledge Māori specific ethical principles in the design and conduct of research.

8.12 Human remains, tissue and bodily fluids

An additional stipulation was added regarding the collection of tissue samples from Māori participants, requiring that this be conducted in as culturally sensitive manner.

8.13 Research conducted outside of New Zealand

HRC requested that we develop guidelines for "locality review" i.e. requirement that research conducted overseas also be reviewed there when needed, and that when ethics approval has been granted by an overseas university or organisation that such approvals be supplied to the committee as a condition of the approval of our committee.

Progress achieved

The operation of the Human Ethics Committee has progressed smoothly since the last policy review in 2017. We continue to seek to improve our processes.

POLICIES & PROCEDURES CATALOGUE

Human Ethics Committee Policy

Last Modified:	September 2017
Review Date:	June 2020
Approval authority:	Council
Contact Officer:	Deputy Vice-Chancellor, Academic Programmes & Student Experience

1. **CONSTITUTION**
2. **AIMS**
3. **TERMS OF REFERENCE**
4. **MEMBERSHIP**
5. **MEETINGS AND FREQUENCY**
6. **SCOPE AND EXEMPTIONS**
7. **ETHICAL PRINCIPLES FOR RESEARCH WITH HUMAN PARTICIPANTS**
8. **GUIDELINES FOR CONDUCTING ETHICAL RESEARCH**
9. **OPERATING PROCEDURES**
10. **REVIEW**
11. **APPENDIX 1 – APPLICATION FORM FOR ETHICAL APPROVAL FOR A PROJECT INVOLVING HUMAN PARTICIPANTS**

1. CONSTITUTION

The Human Ethics Committee was established as a Committee of the Council of Lincoln University on 14 December 1999.

2. AIMS

2.1 To ensure that all research at Lincoln University which involves human participants meets established ethical standards including requirements specified by funding agencies such as the Ministry of Business, Innovation and Employment; Health Research Council and Lottery Health Research.

2.2 To educate Lincoln University staff on the needs and requirements for ethically-sound research and teaching practices.

2.3 To ensure Lincoln University is an institution where high ethical standards of research are maintained.

2.4 To minimise any risk of liability faced by the University or its members by research projects involving human subjects.



3. TERMS OF REFERENCE

Having regard to Lincoln University's Investment Plan:

3.1 Promote awareness of the need for research involving human participants to be of the highest ethical standards as outlined in the Committee's Principles and Guidelines (as set out in section 6 below).

3.2 Either review non-exempted research (see section 6) and teaching projects involving human participants and approve proposals that meet agreed ethical standards, or ensure that research, such as clinical trials, which needs to be approved by an external accredited regional ethics committee is indeed only proceeding after having been so approved.

3.3 Monitor approved research projects and programmes as continuing to meet ethical standards and from time to time check that project leaders whose research is required to have ethical approval are indeed having their projects reviewed by the Committee.

3.4 Maintain an awareness within Lincoln University of the ethical requirements of all appropriate funding agencies.

3.5 Report on the activities of the Committee to the Vice-Chancellor, the Council and the HRC Ethics Committee annually and, as required on specific issues arising, to the Vice-Chancellor and to the Council where the Council's attention or consideration may be warranted.

4. MEMBERSHIP

4.1 Membership shall be as determined from time to time in accordance with the guidelines or requirements of the Health Research Council. The Chair will be appointed by the Council on the recommendation of the Vice-Chancellor. One member will be appointed by the Council. Other members will be appointed by the Vice-Chancellor. The Council will be advised of such appointments. The Committee will elect a Deputy Chair.

4.2 The membership term shall be three years and may be renewed for one term. It may be appropriate, for members to serve an additional (third) term where the Committee would benefit from their specific expertise.

4.3 The Committee is served by a Lincoln Research & Innovation Office appointed Secretary whose duties include maintaining a database and records of all cases considered by the Committee, distributing copies of papers for meetings and applications for ethical approval to the Chair and other members, taking minutes of meetings of the Committee, handling requests for Committee publications and documents, and general correspondence associated with the work of the Committee.

4.4 The Committee will be legally constituted when a majority of the total membership is present.

5. MEETINGS AND FREQUENCY

5.1 Most of the operations of the Committee in terms of consideration of applications for ethical approval will be conducted by circulation throughout the year.

5.2 There will be six scheduled meetings per annum.

5.3 The conduct of meetings of the Committee is governed by the Local Government Official Information and Meetings Act 1987.



6. SCOPE AND EXEMPTIONS

6.1 Scope of ethical review

Research and teaching projects involving human participants and requiring review may be initiated only after the Committee has given its approval. Not all such research and teaching is subject to review by the Committee: exemptions are listed under 6.2. Applications for review and approval must be made in keeping with the Committee's operating procedures listed in section 9 below. The Committee does not grant retrospective approval.

Subject to the exemptions noted in 6.2 below, projects requiring review and approval by the Human Ethics Committee include any research or teaching activity in which persons participate in experimental procedures or observation or questioning or otherwise are used as a source of information or data. Activities ordinarily subject to review include the following:

6.1.2 Any research involving human participants or human tissue, or affecting the rights and privacy of humans, conducted by a student or employee of the university in the course of their study or employment with the university.

6.1.3 Research conducted within the precincts of the university.

6.1.4 Coursework for undergraduate or postgraduate courses, which includes laboratory exercises, projects or surveys involving human participants.

6.1.5 Research for dissertations and theses

6.1.6 Evaluation of university services, organisational practices or teaching programmes where:

- information of a personal nature is collected; or
- participants are identified; or
- there is a potential relationship of dependence between researcher and participants; or
- activities have a research component that may lead to publications.

This does not include routine organisational quality improvement activities, e.g. academic programme evaluations or service delivery projects.

6.1.7 The scholarly investigation of teaching and learning where the research may lead to publications.

6.1.8 Projects where access is required to unpublished historical documents whose use would depend on ongoing permission being granted by individual owners or Iwi, which could be contingent on the cultural sensitivity of the intended use and communication of results.

6.2 Exemptions

Where research or teaching activities are exempted from the review of the Committee, it is an expectation of the Committee that these activities conducted in accord with the principles listed under section 7.2 of this document.

Activities ordinarily exempted from review include the following:

6.2.1 Course and lecturer evaluations undertaken by Library, Teaching and Learning, Lincoln University Students' Association, or academic departments, provided that this is in accordance with the provisions of the Privacy Act.

6.2.2 Interviews of public officials which seek merely factual and non-sensitive information (e.g. requests for statistical information, or information about public services from public agencies), or requests for publicly available documents or information (e.g. archival records).



6.2.3 The observation of, or request for statements from, public officials or other prominent persons on matters of public interest or within the scope of their public duties, or requests for information from individuals or communities while acting in a client capacity (for example, a community group involved in a landscape planning or design exercise).

6.2.4 Informal discussion with colleagues, family and friends, or informal contributions within class discussions, where no formal publication of the data is intended.

6.3 Research approved by other human ethics committees

6.3.1 Where research has been approved by another Health Research Council approved Institutional Ethics Committee (IEC) the researcher will supply the committee with evidence of the approval and the committee will either ratify the approval or require a full ethics application.

6.3.2 Where research has been approved by another Institutional Ethics Committee not approved by the Health Research Council, or other non-approved ethics committee, the committee will require the researcher make a full ethics application.

6.3.3 Automatic approval is granted where the project is of a kind for which approval must be sought from a regional Health and Disability Ethics Committee (HDEC) so long as a copy of the application form sent to that committee and a copy of the external ethics committee's letter of approval have been received by the Human Ethics Committee.

6.3.4 Where projects are required to be reviewed by regional Health and Disability Ethics Committee, the Human Ethics Committee nonetheless prefers to review them prior to submission to the external committee so that advice may be given on what, if anything, the outside body may be likely to consider to be lacking in the proposal.

6.4 Focus groups and pilot studies

Focus groups may be convened, or pilot studies undertaken, for the purposes of developing a research instrument prior to ethical approval being gained. This is only permitted when:

- There is no risk of harm.
- The sole purpose of the focus group or pilot study is to provide data to develop a research instrument and not to collect research data.
- The data to develop the research instrument is destroyed after the instrument has been developed (aggregate data may be kept for the sole purpose of justifying the development of the research instrument).
- The data to develop the research instrument is not used in a publication.
- The focus group or pilot study participants are adults.
- The total number of participants involved is limited to 40 persons.
- The researcher must not have a relationship with the participants whereby potential participants could feel under pressure to participate (e.g. tutor/student relationship).

6.4.2 Researchers must notify the Human Ethics Committee in writing that they are convening focus groups or undertaking a pilot study with the sole purpose of preparing a research tool. In the notification (see Human Ethics Committee web site for proforma document) the researcher must state that all the requirements have been met. Their supervisor or manager must countersign the notification. The notification must be sent to the Committee five working days prior to the focus group or pilot study being undertaken.

6.5 Third party research

Where research involves an agreement or contractual relationship with a third party organisation or group to undertake some or all of the research, then the applicant should complete and have signed by the third party



a protocol (see Human Ethics Committee web site) which gives an undertaking that in administering and conducting the research the third party will:

- (i) Comply with ethical standards, including the practices, policies and guidelines of the Lincoln University Human Ethics Committee;
- (ii) Comply, administer and conduct the research in accordance with the terms of the ethical approval of the research given by the Human Ethics Committee.

7. ETHICAL PRINCIPLES FOR RESEARCH INVOLVING HUMAN PARTICIPANTS

7.1 Ethics in research with human participants

Lincoln University recognises that individual researchers and teachers, familiar with the methods and subject matter particular to their own disciplines, are in the best position to judge the ethical implications of their research and teaching activities. Nevertheless, because of the need for impartiality, consistency, and the maintenance of high standards of ethical conduct, all non-exempted research and teaching involving human participants must be approved by the committee. The Lincoln University Human Ethics Committee is approved by the Health and Research Council and its continuing approval is dependent upon the HRC being satisfied that the Committee maintains sufficient standards and procedures for the review of research activities.

The ethical review of applications is conducted primarily in terms of the principles listed in 7.2 below. These ethical principles are general and their interpretation and application to the design and conduct of research and teaching activities requires knowledge and judgement suitable to these contexts. In their application the requirements of differing and potentially competing ethical principles may need to be balanced.

7.2 Key ethical principles

The principles guiding the Committee's review of research and teaching that involves human participants are:

(1) Beneficence

The principle of beneficence entails considering the public good that may follow from human acts. A beneficent act is one that promotes the good of an individual or group. Human goods include but are not limited to the provision of personal well-being or happiness, increases in material goods or human prosperity, advances in human self-determination or knowledge. Researchers should consider the contribution that their research activities will make to individuals, groups, and wider society. The good of the research participant directly involved in a project is a fundamental consideration of research ethics, as is any good that may follow more generally from the research project or its contribution to knowledge.

(2) Non-maleficence

Non-maleficence is an ethical principle that describes the duty to act in a way that causes no harm, or to act so as to prevent possible or foreseen harmful events. Harms may be suffered by individuals but also to groups, communities or institutions. Harm is not restricted to physical injury, but may also involve psychological harms, damages to personal property, injuries to reputation, or harm to personal autonomy. Researchers and teachers have a moral duty to consider and guard against potential harms that may be caused by their activities. The greater the potential harm, the more care needs to be taken to eliminate, minimize or reduce the risk of that harm.

(3) Autonomy

The principle of autonomy refers to ethical objective of self-determination, or the ability of people to make their own decisions and perform actions for their own reasons. The right to privacy and the ability to determine how personal information is conveyed or disseminated are other important aspects of personal autonomy. Autonomy may also refer to the self-determination of groups within society. Respect for individual autonomy is a fundamental consideration with the design and conduct of research involving human



participants, particularly with their recruitment into research projects, the right to privacy of research participants, and the confidentiality of the information participants provide.

(4) Justice

The ethical principle of justice concerns the equitable distribution of benefits and costs, and the fairness, impartiality, or objectivity with which individuals are treated. Researchers and teachers should keep in mind that design of research problems, and the recruitment and selection of research participants, is fair and equitable with respect to its treatment of different groups within society. The principles of justice also enjoins researchers to consider how the benefits and burdens of the research projects are apportioned.

8. GUIDELINES FOR CONDUCTING ETHICAL RESEARCH

8.1 Applying the key principles to the design and conduct of research with human participants

Researchers and teachers should take account of these principles in planning their projects and preparing their proposals. Some implications of the principles are indicated below. These are guidelines and do not exhaust the possible implications of the key ethical principles for the design and conduct of research with human participants.

8.2 Informed and voluntary consent

- (1) Informed consent is a dynamic process that begins with a researcher's first contact with a potential participant and continues through to the end of the participant's involvement in the research. The informed consent process requires effective and reciprocal communication between the researcher and potential participants.
- (2) Researchers must provide potential participants with information about the research they are being asked to participate in, potential risks and benefits, as well as the opportunity to ask questions and give their free and informed consent to participate in research, or to decline to do so.
- (3) In New Zealand, the concept of mana tangata (personal autonomy) refers to a person's right to participate in research and their right to be appropriately informed of risks of harm to themselves or their collective. Through clearly explaining the requirements for informed consent, researchers must demonstrate respect for the mana of participants.
- (4) The default starting point is that informed and voluntary consent of participants must be obtained, in writing, before the start of their participation in the project. In limited circumstances, aspects of the consent process may be modified, or the requirement to obtain consent may be waived.
- (5) All participants must be competent to give informed consent. This means the participant must be able to understand the information relevant to their decision to participate in research, assess it, retain it, make a decision, and communicate that decision. Care must be taken to assess participants' competence, especially when dealing with groups that may have limited competence, especially children. Informed consent must be obtained from the participant. In the case of children, it may also be appropriate to seek approval from a parent or guardian especially where the child is particularly young, the research involves a significant commitment from participants, or touches on sensitive issues – however this does not remove the need to also obtain the child's consent.
- (6) Any departure from the standard of fully informed, written consent must be justified in terms of the necessity to the scientific aims of the project or the research method.
- (7) Participants must also be alerted to their right to decline to participate in the research, and to withdraw from it at any time (including withdrawal of information they have provided) without prejudice to any of their pre-standing rights or privileges.



- (8) Participation must not be obtained through coercion of any sort, or inducement beyond reasonable compensation for participation.**
- (9) In some research involving groups of persons, it may be necessary to obtain consent from leaders of the group, as well as from members. Consent of a group leader is not sufficient in itself.**
- (10) Where prospective participants are not capable of giving informed consent to their own participation (as in the case of young children) this must be obtained in writing from a legal representative of that person. Even where consent has been obtained in this way, dependent persons must not be required to participate against their will.**
- (11) Researchers should refer to and comply with the *National Ethical Standards for Health and Disability Research and Quality Improvement* for further details of how to obtain informed consent.**

8.3 Privacy and confidentiality

- (1) Research will usually include collecting personal information from participants, and the Privacy Act applies, and must be complied with.**
- (2) The key requirements of the Privacy Act are that the participant is informed how and why information will be collected, and the purposes for which it will be used and disclosed; and that the researcher protects and securely stores the information to prevent disclosure.**
- (3) Researchers will usually give an undertaking to participants' that their personal information will not be disclosed or used in any identifiable way (other than to the researcher(s) their supervisor(s) and the Human Ethics Committee. Where such an undertaking is given, it must be complied with.**

8.4 Limitation of deception

- (1) Deception of participants is allowed only in the extraordinary situation when it has been shown to be appropriate and necessary for meeting the objectives of the project and that the information cannot be objectively obtained in any other way, and where there is some compelling benefit that justifies the conduct of the research project. Any use of deception, either by the intentional dissemination of falsehoods during the research recruitment or procedure, or the omission of relevant information during these, must be justified in terms of the necessity to the scientific aims of the project or the research method.**
- (2) As soon as possible following completion of a project activity where deception has occurred, participants must be provided with an explanation of the true state of affairs and of the need for the deception, and should then be given the opportunity to withdraw from participation in the project, including withdrawal of any information they have provided.**

8.5 Minimisation of risk

- (1) Researchers must endeavour to minimise any risks attendant on participation; such risks include pain, stress, emotional distress, embarrassment, and moral or cultural offence.**
- (2) Prospective participants must be informed of any potential risks at the time when informed consent is sought, and should also be consulted to ascertain any potential risks that they foresee.**
- (3) Projects involving human participants must be supervised by suitably qualified personnel to mitigate risks to both researcher and participants.**



8.6 Reimbursement, inducements, and compensation

(1) It is appropriate to reimburse participants where they have incurred costs due to their participation in research projects.

(2) It is appropriate to compensate research participants for their time. Any payments or other forms of compensation must not be so large as to unduly influence or coerce participation in the project.

(3) Information regarding known risks to participants, and if compensation is unlikely to be available for any injury as a result of the research project, should be included in the Information Sheet.

(4) Where the proposed research is likely to impose significant costs on any Faculty, Department or Centre, the researcher must first obtain the written approval of the appropriate manager for the research to proceed under University auspices.

(5) Researchers will be required to indicate if their proposed research is sponsored or commissioned by an outside funder. The committee will determine whether the research is primarily for the benefit of the sponsor. Where the answer is in the affirmative, then the sponsor will be required to indemnify the researcher, the university and the institutional ethics committee members for any liability which may arise through a claim by any participant in the research project which is not otherwise eligible for coverage by ARCIC.

8.7 The Treaty of Waitangi / Te Tiriti o Waitangi and Māori research

(1) The 1989 Education Act enjoins educational institutions to acknowledge the principles of the Treaty of Waitangi. All research projects conducted at the university must accord with, where appropriate, the spirit of the Treaty of Waitangi. All parties involved in research project must respect the principles of partnership and sharing implicit in the Treaty.

(2) Where research includes one or more of the following:

- Involves Māori research participants
- Has relevance to Māori
- Is Māori-centred
- Involves Māori researchers (which may include Kaupapa Māori research)

Then the applicant should read the Health Research Council's Guidelines for Researchers on Health Research Involving Māori and Te Ara Tika: Guidelines for Māori Research Ethics: A framework for researchers and ethics committee members. This should occur prior to making an application to the Human Ethics Committee. This document provides a framework for Māori ethics involving four key principles: whakapapa (purpose and relationships), tika (research design), manākitanga (cultural and social responsibility) and mana (justice and equity). All research conducted in New Zealand is of interest to Māori and researchers must acknowledge and engage with the four principles in the design and conduct of their projects.

(3) Where research focuses on Māori as a cultural group, or has clear implications for, or is of direct interest to Māori, the researcher must show due care in consultation of Māori in the preparation of the research project. This should involve conducting meaningful engagement with Māori cultural and ethical values and/or consultation with relevant whanau, hapū or iwi.

8.8 Social and cultural sensitivity



(1) The researcher has a moral obligation to treat all participants and interested parties with respect and dignity. Researchers should make every effort to investigate and avoid possible sources of social or cultural offence in the design, conduct and dissemination of studies.

(2) Where appropriate, research activities and documentation will employ the first language of the participants.

(3) Researchers will take measures to approach and recruit participants through appropriate channels, showing respect for local customs and social arrangements. Where possible, researchers will consult cultural and social groups to discuss the appropriateness of their intended research methods.

8.9 Vulnerable participants and groups

(1) Research with vulnerable individuals and groups may often be appropriate, but researchers must take special care to ensure that the interests of these participants are protected.

(2) Researchers must notify the Committee where they intend to interact with a vulnerable individual or group, describe the reasons for the vulnerability of the individual or group, and convey to the Committee any measures that will be taken to protect the interests of the participants.

8.10 Conflicts of interest

(1) It is the duty of researcher to take steps to identify and avoid conflicts of interest in the design and conduct of research projects, and in the dissemination of the findings of that research.

(2) If the research is funded, researchers will be required to disclose to the Committee the source of the funding.

(3) Researchers should make efforts to identify potential sources of conflict or dependence between parties involved in the research such as researcher and participants, staff and managers, or parents and children. Cases of researcher/participant dependence must be made known to the Committee.

8.11 Security, retention and destruction of data

(1) Data must be handled and stored in such a way as to maintain the safe custody of the data for the duration of the study.

(2) Where audio, video, or other electronic means of recording data are used special care must be taken to ensure the confidentiality and privacy of any participants identified in the recordings. The use of electronic data gathering techniques such as audio and video recording should typically be accompanied by a specific opportunity for participants to consent to such recording.

(3) Researchers must have in place a plan for the future retention or destruction of primary data, and a clear indication must be made to the Committee of the nature of these plans. Special care must be taken to the storage, retention, or destruction of digital data.

8.12 Human remains, tissue and bodily fluids

(1) All human remains, tissues and bodily fluids collected during the course of the research must be treated with care and respect and utilised only for the purpose for which they were originally obtained.

(2) Special consideration must be given to ensure that Māori tissue or blood samples are obtained, stored, used and discarded in a culturally appropriate way.



8.13 Research conducted outside of New Zealand

(1) Where research is conducted outside of New Zealand, efforts should be made to meet the ethical requirements of the locality in which the research takes place.

(2) Where research is conducted in association with an overseas university or institution that requires ethical review, ethics approval should normally be sought from the university or institution and any approval obtained should be supplied to the Lincoln University Ethics Committee.

9. OPERATING PROCEDURES

Though the Committee uses a set of procedures to provide uniform and expeditious treatment of applications, members of the Committee do not see themselves essentially as operating a bureaucratic hurdle or policing body. A major part of the role of its operating procedures is to educate staff and postgraduates about ethical issues that arise in the use of human participants.

9.1 Application methods

9.1.1 Full applications

Submissions to the Committee should be made on a Human Ethics Application Form and should be submitted along with relevant research documents to the Human Ethics Committee Secretary. The application form is available from

[http://registry.lincoln.ac.nz/LPP/Policies/AcademicPolicy/Committees/SubResources/Human Ethics Committee Application Form.doc](http://registry.lincoln.ac.nz/LPP/Policies/AcademicPolicy/Committees/SubResources/Human%20Ethics%20Committee%20Application%20Form.doc)

or from the Secretary of the Human Ethics Committee (contact Lincoln Research & Innovation).

Before obtaining and completing an Application Form, potential applicants should read the Committee's Principles and Guidelines, model project information sheets, consent forms and other research documents are available on the HEC website.

9.1.2. Applications for dissertation and thesis research

Approval by the Human Ethics Committee is to be obtained prior to commencement of any research studies. Normally postgraduate students must make their own applications, in good time, for review and approval of their projects after due consultation with their supervisors. It is a duty of the supervisor to ensure that postgraduate students are aware of Lincoln University's requirements for ethical approval of research involving human participants. Supervisors must check and sign off applications before they are submitted to the committee.

9.1.3 Applications for Degree and Diploma course work

The examiner is required to seek ethical conduct approval of this Committee for undergraduate or postgraduate course work involving human participants. Only one application needs to be made for each degree or diploma course. Once granted, approval will remain in force for three years unless substantial changes are made to the degree or diploma course or unless the laboratory, project or survey concerned is changed. A new application for ethical conduct is required after three years.

Applications for blanket coverage of degree and diploma units should be made on Applications for Courses form and should contain the following:

- (i) A copy of the laboratory manual for the degree or diploma unit in question, which should include a copy of the consent form students will be asked to sign;
- (ii) A copy of the subject outline;



(iii) A covering letter outlining the nature of student projects entailed in the unit in question and explaining how they will be conducted in an ethical manner.

The application must provide full and adequate information regarding the nature of the students' projects or exercises, and evidence that students are acquainted with these principles and guidelines and will apply them. The lecturer in charge of the activity must ensure that the students are acquainted with these principles and guidelines and that the projects or exercises are conducted in accordance with them.

9.2 Yearly application cut-off date

In order to ensure that timely decisions are reached before the yearly University closedown, applications must be received by the Human Ethics Committee Secretary by no later than the 26 November. Applications received after this date cannot be processed until the third week of January in the following year.

9.3 Review of applications

Once the Secretary of the Committee has received a set of application forms a reference number and date of distribution will be attached to them by the Secretary and they will be distributed to members, with one copy retained for the records of the Committee.

When distributing applications, the Secretary will note if the matter is urgent, for example because a client requires a speedy turnaround if an opportunity is to be grasped by a research team; however, urgency is unlikely to be recognised where deadlines have been publicised long in advance and applications have been prepared without due regard to them. Once applications have been circulated, procedures are as follows:

(1) Members of the Committee will send the Chair their comments on the application. Wherever possible, electronic mail is to be used for such communications. Where members see no reason to object to an application being approved without modification, they will simply send to the Chair a message stating the reference number and their approval.

(2) Comments received within fourteen days of the date of distribution will be examined by the Chair, mindful of his/her own perspectives on the application, for the presence of a consensus view. Where an application has been classed as urgent, the Chair will normally expect to receive enough sets of comments within four working days of members receiving copies of the application.

(3) When the Chair has received responses from all other members of the Committee and believes that members of the Committee differ only in matters of detail in their reactions to the application, the Chair will write, on behalf of the Committee as a whole, to the applicant, outlining the decision on the application. Where appropriate, this letter will outline the Committee's areas of concern and views on desirable amendments to the proposal which the project leader must discuss with the Chair; in the light of such discussions and written agreements about modifications, the Committee's approval may be granted via the Chair.

(4) Each meeting of the Committee will receive:

For each application granted approval since the previous meeting through the process described in (3) above, the outcome of the application; and
A brief summary of the nature of the project.

(5) Where the Chair of the Committee discovers that members of the committee do not broadly agree about an application's suitability for ethical approval, then the application will be referred to the Secretary to be added to the agenda of the next meeting of the Committee. On some occasions the project leader may be invited to the meeting. The Secretary will advise the project leader that the application has not proved straightforward to assess and of the date of the meeting at which it will be considered by the Committee. Where the timelines threaten the viability of the project, project leaders may appeal to the Chair of the



Committee for consideration under urgency and/or discuss with the Chair aspects of the application that have proved controversial among members of the Committee.

In the light of such discussions the project leader will be free to withdraw the application and submit a revised one.

(6) Where a Committee member has an interest in an application, they must disclose such interest.

(7) The Committee may make such enquiries as are necessary for the purposes of assessing and making a decision upon any application. Enquiries may be made with any person outside the Committee and some disclosure of information received from the applicant and from third parties in support of the application may be required for that purpose. Disclosure of such information will be subject to an obligation of confidence.

(8) Subject to the paragraph above, the Committee will ensure that no information of a personal nature supplied with any application is disclosed to any person, other than the Committee members, without the authorisation of the individual concerned, or otherwise in compliance with the Privacy Act.

(9) Individuals may at any time exercise the right to seek access to, and correction of, any personal information held by the Committee on that individual, and any such request will be considered in accordance with the Privacy Act.

(10) Any final decision on an application is subject to approval being received, where necessary, from another University committee or committees.

9.4 Monitoring of project implementation

9.4.1 The Committee may from time to time conduct audits of projects that have been approved, to ensure that they have been implemented in accordance with procedures approved in the review process.

9.4.2 Audits of project implementation may be done on a random basis or may be undertaken in respect of particular projects about which the Committee has been given cause for concern.

9.4.3 In the process of undertaking an audit, the Committee will have the right to request access to signed consent forms and to solicit opinions from samples of participants about the ways in which projects under audit were implemented.

9.4.4 Where the Committee has been given reason to believe that non-exempted projects involving human participants are being or have been undertaken without first having been approved by the Committee, the Chair of the Committee will consult with the relevant head of department or centre prior to engaging in an investigation. If an investigation is embarked upon, the project leader will be notified about the concerns of the Committee and will be provided with an opportunity to make representations to the Committee. In the meantime, activity on the project will cease forthwith.

9.4.5 Where audit work by the Committee uncovers ethically unacceptable conduct on the part of researchers and teachers using human participants in their projects, reports of such findings will be submitted to both the Vice Chancellor and the relevant head of department or centre. In such a case, the project leader will be notified about the concerns of the Committee and will be provided with an opportunity to make representations to the Committee.

9.4.6 Though the Committee may uncover ethically unacceptable conduct through its audit activities and submit reports on its findings, it is not responsible for instituting any disciplinary action against the parties responsible for the conduct.

9.5 Researcher reporting responsibilities



9.5.1 If contingencies require the alteration of the research proposal that has been the subject of committee approval, the researcher will report any intended change in the methodology to the committee. The Committee shall forthwith take the matter under advisement and review its ethical status.

9.5.2 Where, during the course of any approved research, an adverse event happens or unexpected circumstances occur arising from or seemingly connected with the research, the researcher shall within 24 hours notify the Committee. The Committee shall forthwith take the matter under advisement and review its ethical status. Activity on the project shall cease until such time the Committee has reviewed matters relating to the breach.

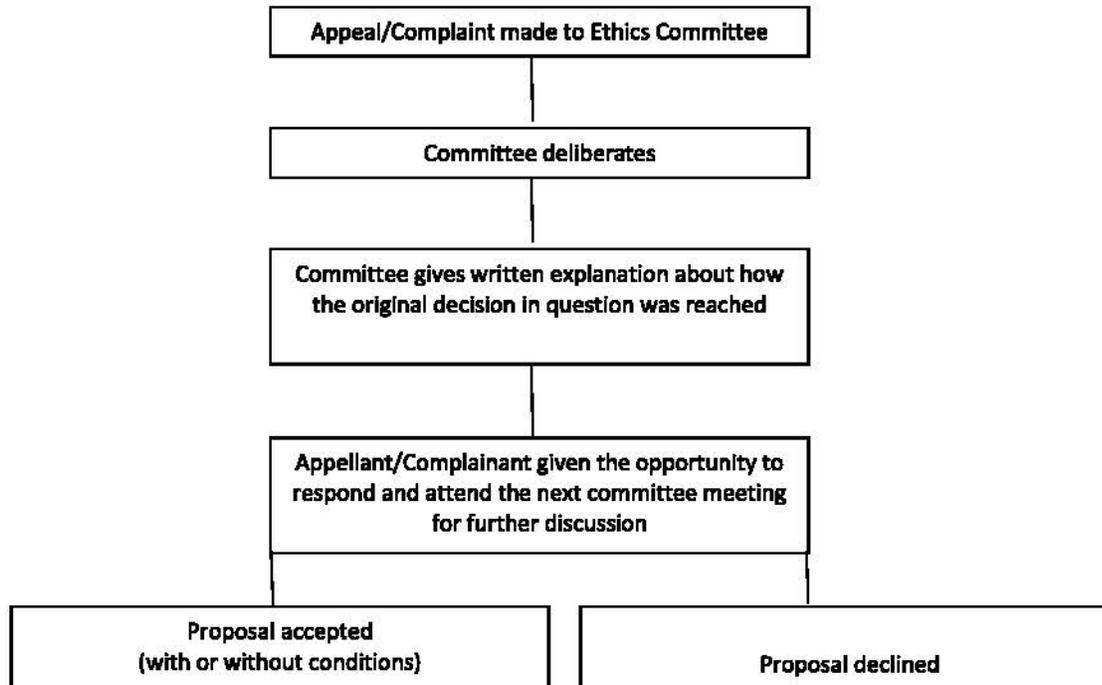
9.5.3 At the conclusion of the field work component of the research project the researcher will report to the Committee that the field work has been completed and complied with the terms of the approval. Applicants are welcome to provide feedback to the Committee on ethical issues encountered during the course of the research and also a brief summary of the findings. Such feedback assists the Committee in its work.

9.6 Review of procedures

From time to time the operating procedures of the Committee will be subject to review, to ensure they are achieving their intended purpose.

9.5 Appeal and complaints procedure

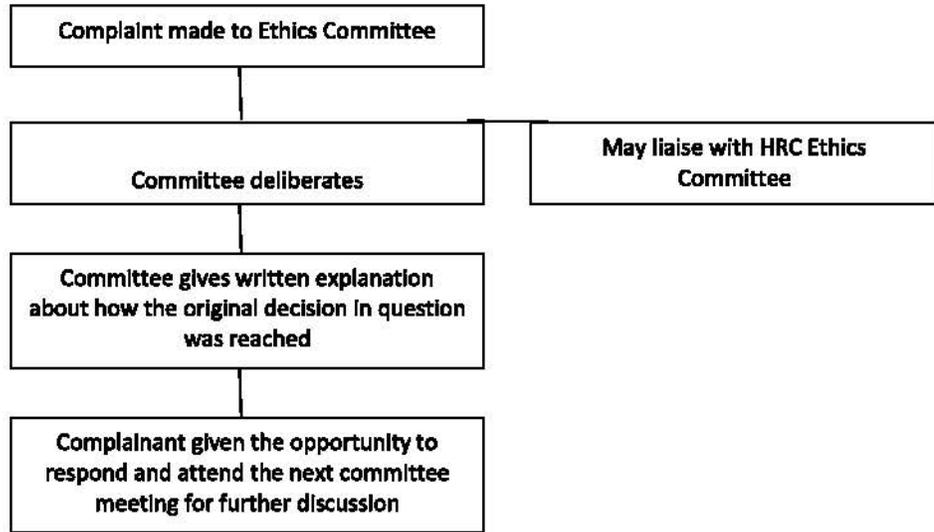
9.5.1 Appeal/Complaint received from an applicant when a proposal is declined



If the decision is still to decline the proposal, researchers may seek a second opinion on research and innovative treatment proposals, service and treatment issues from the HRC Ethics Committee.



9.5.2 Complaints received from individuals other than the applicant about the decision- used by the Committee in reaching a particular decision-making process



If complaint is unresolved to the complainant’s satisfaction, it may be referred to the HRC Ethics Committee.

9.5.3 Complaint received from participants that research is not progressing according to terms agreed by the Ethics Committee

The Ethics Committee will send the complaint to the researcher for comment. The complaint must be in writing (the advocate, where appropriate, working under the Health and Disability Commissioner may be contacted to assist in writing the complaint). It is possible for an Ethics Committee to warn the researcher and the provider that they no longer have protection from the legal redress that an Ethics Committee gives if a protocol has been altered without approval. The complainant will be kept informed.

9.5.4 Complaints about the performance of Ethics Committee members

Complaints about the performance of Ethics Committee members may be received by:

- the Committee itself; or
- the contracting organisation; or
- the Vice-Chancellor acting on behalf of the Council.

In all instances, the Chair and members will be informed of the issue. The Vice-Chancellor will investigate the issue and follow up on the complaint to the point of resolution.

Notification of the outcome of the complaint must be given to the Chancellor.

9.6 Selection and appointment of HEC members

Membership shall be as determined in accordance with the guidelines or requirements of the Health Research Council. When a vacancy occurs, the Chair will consult with committee members on suitable candidates for the replacement. Once a prospective member has been identified, the Chair makes a recommendation to the Vice Chancellor; if the Vice Chancellor agrees, s/he recommends to Council that the person be appointed for three years.



10. REVIEW

This policy will be reviewed by the Convenor of the Human Ethics Committee every three years.

Manager: Convenor of the Human Ethics Committee
Approval Date: xxx 2020
Approval Body: Council
Next Review Date: xxx 2023

11. APPENDIX 1 – APPLICATION FORM FOR ETHICAL APPROVAL FOR A PROJECT INVOLVING HUMAN PARTICIPANTS



COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

				Ahu	Farms	CAC	ARMC	Jun-20
Owner			Freq					Council
Operations (CAC)	PH	Campus Development Programme	Mthly			Report		Report
	PH	Capital Project Dashboard FULL	Feb/Sep					
	PH	Programme and Priorities Review	Qtrly					
	PH	Project Dashboards	Mthly			Report		
	PH	Asset Optimisation	Mthly		Report	Report		
	CS	Asset Compliance Report incl. water rights	Feb					
	PH	Capex Project close-out reporting	Qtrly					
	PO	Current capex repurpose	at 6+6					
	PO	Capex prioritisation	November					
Operations (ARC)	HG	Monthly financials	Mthly		Report		Report	Ratify
	HG	EOY Financials	Feb					
	PO	Budget/Reforecasting	Qtrly		Report			
	PO	10 yr forecast	Jun/Nov			Report	Report	Ratify
	KF	Recruitment	Mthly					Report
	KF	EFTS Deep Dive	Mar/Aug					
	HG	Insurance	Aug-Nov					
	PO	Records Management	Quarterly					
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly					Report
	GE	Research	Qtrly					
	GE	Futures Project Dashboards	Qtrly per CFA					
	CS	Awards	Annual					
	BM	Scholarships	??					
	LP	Conferment	Bi-mthly					Ratify
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA					
	BM	Strategic risks	Bi-mthly				Report	Report
	KH	Policy Register Report	Quarterly					
	SR	Business Continuity Planning	Quarterly					
		Lincoln Measures	Feb/Aug					
	PO	Sem 1 and Year End SSP	Feb/Aug					
	PO	Annual report	Mar - May					
	PO	Investment Plan	June + July				Review	Ratify
	Various	Subsidiary 6 mthly report	May/Nov					
	Various	Subsidiary SCIs	Nov					
	Various	Subsidiary Support Letters	February					
	SW	LU Centennial Trust/Foundation	Annual					
	TN	Health and Safety	Mthly				Report	Report
	TN	Health and Safety Internal Audit Plan	Sept					
	TN	Farms Leave report	Qtrly		Report			
	Self-Review of Code Pastoral Care	Nov						
HG	External audits	As needed						
LC	Internal audits	Bi-mthly						
Policies and Compliance	BG	Council policies/Statutes	July				Report	Report
	PO	Fee setting	June				Report	Ratify
		Council Interests review						
	BG	Council elections and fee review	Dec					
	BG	Committee elections	Dec					
	GT	Human Ethics Committee	Feb or Mar					
	BG	Council Indemnity	Feb					
Strategy	GE	Strategy 2019-2028						Ratify
	GE	Farms Plan 2019-2023	6 mthly					
Stakeholders	GE							

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

Owner		Freq	CAC	ARMC	Futures	Jul-20 Council	
Operations (CAC)	PH	Campus Development Programme	Mthly	Report		Report	
	PH	Capital Project Dashboard FULL	Feb/Sep				
	PH	Programme and Priorities Review	Qtrly				
	PH	Project Dashboards	Mthly	Report			
	PH	Asset Optimisation	Mthly	Report			
	CS	Asset Compliance Report incl. water rights	Feb				
	PH	Capex Project close-out reporting	Qtrly				
	PO	Current capex repurpose	at 6+6				
	PO	Capex prioritisation	November				
Operations (ARC)	HG	Monthly financials	Mthly		Report	Ratify	
	HG	EOY Financials	Feb				
	PO	Budget/Reforecasting	Qtrly				
	PO	10 yr forecast	Jun/Nov				
	KF	Recruitment	Mthly			Report	
	KF	EFTS Deep Dive	Mar/Aug				
	HG	Insurance	Aug-Nov				
	PO	Records Management	Quarterly				
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly			Ratify	
	GE	Research	Qtrly		Report	Report	
	GE	Futures Project Dashboards	Qtrly per CFA			Report	
	CS	Awards	Annual				
	BM	Scholarships	??				
	LP	Conferment	Bi-mthly				
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA	Report	Report	Report	Ratify
	BM	Strategic risks	Bi-mthly				
	KH	Policy Register Report	Quarterly		Report		
	SR	Business Continuity Planning	Quarterly		Report		
		Lincoln Measures	Feb/Aug				
	PO	Sem 1 and Year End SSP	Feb/Aug				
	PO	Annual report	Mar - May				
	PO	Investment Plan	June + July		Review		Ratify
	Various	Subsidiary 6 mthly report	May/Nov				
	Various	Subsidiary SCIs	Nov				
	Various	Subsidiary Support Letters	February				
	SW	LU Centennial Trust/Foundation	Annual				
	TN	Health and Safety	Mthly		Report		Report
	TN	Health and Safety Internal Audit Plan	Sept				
	TN	Farms Leave report	Qtrly				
		Self-Review of Code Pastoral Care	Nov				
HG	External audits	As needed					
LC	Internal audits	Bi-mthly		Report			
Policies and Compliance	BG	Council policies/Statutes	July		Report		Ratify
	PO	Fee setting	June				
		Council interests review					
	BG	Council elections and fee review	Dec				
	BG	Committee elections	Dec				
	GT	Human Ethics Committee	Feb or Mar				
BG	Council indemnity	Feb					
Strategy	GE	Strategy 2019-2028					
	GE	Farms Plan 2019-2023	6 mthly				
Stakeholders	GE						

COUNCIL/COMMITTEE WORKPLAN**March 2020 - February 2021**

		Owner	Freq	CAC	ARMC	Aug-20 Council
Operations (CAC)	PH	Campus Development Programme	Mthly	Report		Report
	PH	Capital Project Dashboard FULL	Feb/Sep			
	PH	Programme and Priorities Review	Qtrly	Report		
	PH	Project Dashboards	Mthly	Report		
	PH	Asset Optimisation	Mthly	Report		Report
	CS	Asset Compliance Report incl. water rights	Feb			
	PH	Capex Project close-out reporting	Qtrly	Report		
	PO	Current capex repurpose	at 6+6	Report		Ratify
	PO	Capex prioritisation	November			
Operations (ARC)	HG	Monthly financials	Mthly		Report	Ratify
	HG	EOY Financials	Feb			
	PO	Budget/Reforecasting	Qtrly	6+6 Report	6+6 Report	6+6 Ratify
	PO	10 yr forecast	Jun/Nov			
	KF	Recruitment	Mthly			Report
	KF	EFTS Deep Dive	Mar/Aug		Report	Report
	HG	Insurance	Aug-Nov		Report	Ratify
	PO	Records Management	Quarterly		Report	Report
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly			
	GE	Research	Qtrly			
	GE	Futures Project Dashboards	Qtrly per CFA			
	CS	Awards	Annual			
	BM	Scholarships	??			
	LP	Conferment	Bi-mthly			Ratify
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA			
	BM	Strategic risks	Bi-mthly		Report	Report
	KH	Policy Register Report	Quarterly			
	SR	Business Continuity Planning	Quarterly			
		Lincoln Measures	Feb/Aug		Report	Report
	PO	Sem 1 and Year End SSP	Feb/Aug		Report	Report
	PO	Annual report	Mar - May			
	PO	Investment Plan	June + July			
	Various	Subsidiary 6 mthly report	May/Nov			
	Various	Subsidiary SCIs	Nov			
	Various	Subsidiary Support Letters	February			
	SW	LU Centennial Trust/Foundation	Annual			
	TN	Health and Safety	Mthly		Report	Report
	TN	Health and Safety Internal Audit Plan	Sept			
	TN	Farms Leave report	Qtrly			
		Self-Review of Code Pastoral Care	Nov			
HG	External audits	As needed				
LC	Internal audits	Bi-mthly				
Policies and Compliance	BG	Council policies/Statutes	July			
	PO	Fee setting	June			
		Council interests review				
	BG	Council elections and fee review	Dec			
	BG	Committee elections	Dec			
	GT	Human Ethics Committee	Feb or Mar			
	BG	Council indemnity	Feb			
Strategy	GE	Strategy 2019-2028				
	GE	Farms Plan 2019-2023	6 mthly			
Stakeholders	GE					

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

Owner		Freq	Ahu	CAC	ARMC	Sep-20
						Council
Operations (CAC)	PH	Campus Development Programme	Mthly		Report	Report
	PH	Capital Project Dashboard FULL	Feb/Sep		Report	Report
	PH	Programme and Priorities Review	Qtrly			
	PH	Project Dashboards	Mthly		Report	
	PH	Asset Optimisation	Mthly		Report	
	CS	Asset Compliance Report incl. water rights	Feb			
	PH	Capex Project close-out reporting	Qtrly			
	PO	Current capex repurpose	at 6+6			
	PO	Capex prioritisation	November			
Operations (ARC)	HG	Monthly financials	Mthly		Report	Ratify
	HG	EOY Financials	Feb			
	PO	Budget/Reforecasting	Qtrly			
	PO	10 yr forecast	Jun/Nov			
	KF	Recruitment	Mthly			Report
	KF	EFTS Deep Dive	Mar/Aug			
	HG	Insurance	Aug-Nov			
	PO	Records Management	Quarterly			
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly			Report
	GE	Research	Qtrly			
	GE	Futures Project Dashboards	Qtrly per CFA			
	CS	Awards	Annual			
	BM	Scholarships	??			
	LP	Conferment	Bi-mthly			
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA			
	BM	Strategic risks	Bi-mthly			
	KH	Policy Register Report	Quarterly			
	SR	Business Continuity Planning	Quarterly			
		Lincoln Measures	Feb/Aug			
	PO	Sem 1 and Year End SSP	Feb/Aug			
	PO	Annual report	Mar - May			
	PO	Investment Plan	June + July			
	Various	Subsidiary 6 mthly report	May/Nov			
	Various	Subsidiary SCIs	Nov		Review	Review
	Various	Subsidiary Support Letters	February			
	SW	LU Centennial Trust/Foundation	Annual			
	TN	Health and Safety	Mthly		Report	Report
	TN	Health and Safety Internal Audit Plan	Sept		Report	Report
	TN	Farms Leave report	Qtrly			
		Self-Review of Code Pastoral Care	Nov			
HG	External audits	As needed				
LC	Internal audits	Bi-mthly		Report		
Policies and Compliance	BG	Council policies/Statutes	July			
	PO	Fee setting	June			
		Council interests review				
	BG	Council elections and fee review	Dec			
	BG	Committee elections	Dec			
	GT	Human Ethics Committee	Feb or Mar			
	BG	Council indemnity	Feb			
Strategy	GE	Strategy 2019-2028				Ratify
	GE	Farms Plan 2019-2023	6 mthly			
Stakeholders	GE					

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

Owner		Freq	Awards	Farms	CAC	ARMC	Futures	Oct-20 Council	
Operations (CAC)	PH	Campus Development Programme	Mthly			Report		Report	
	PH	Capital Project Dashboard FULL	Feb/Sep						
	PH	Programme and Priorities Review	Qtrly						
	PH	Project Dashboards	Mthly			Report			
	PH	Asset Optimisation	Mthly		Report	Report			
	CS	Asset Compliance Report incl. water rights	Feb						
	PH	Capex Project close-out reporting	Qtrly						
	PO	Current capex repurpose	at 6+6						
	PO	Capex prioritisation	November						
Operations (ARC)	HG	Monthly financials	Mthly		Report		Report	Ratify	
	HG	EOY Financials	Feb						
	PO	Budget/Reforecasting	Qtrly		Report	Report	Report	Report	
	PO	10 yr forecast	Jun/Nov						
	KF	Recruitment	Mthly					Report	
	KF	EFTS Deep Dive	Mar/Aug						
	HG	Insurance	Aug-Nov				Review		
	PO	Records Management	Quarterly						
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly					Report	
	GE	Research	Qtrly			Report		Report	
	GE	Futures Project Dashboards	Qtrly per CFA				Report		
	CS	Awards	Annual					Ratify	
	BM	Scholarships	??						
	LP	Conferment	Bi-mthly					Ratify	
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA			Report	Report	Report	Ratify
	BM	Strategic risks	Bi-mthly				Report	Report	
	KH	Policy Register Report	Quarterly				Report		
	SR	Business Continuity Planning	Quarterly				Report		
		Lincoln Measures	Feb/Aug						
	PO	Sem 1 and Year End SSP	Feb/Aug						
	PO	Annual report	Mar - May						
	PO	Investment Plan	June + July						
	Various	Subsidiary 6 mthly report	May/Nov						
	Various	Subsidiary SCIs	Nov						
	Various	Subsidiary Support Letters	February						
	SW	LU Centennial Trust/Foundation	Annual						
	TN	Health and Safety	Mthly				Report	Report	
	TN	Health and Safety Internal Audit Plan	Sept						
	TN	Farms Leave report	Qtrly		Report				
	Self-Review of Code Pastoral Care	Nov							
HG	External audits	As needed							
LC	Internal audits	Bi-mthly							
Policies and Compliance	BG	Council policies/Statutes	July						
	PO	Fee setting	June						
		Council interests review							
	BG	Council elections and fee review	Dec						
	BG	Committee elections	Dec						
	GT	Human Ethics Committee	Feb or Mar						
	BG	Council indemnity	Feb						
Strategy	GE	Strategy 2019-2028							
	GE	Farms Plan 2019-2023	6 mthly						
Stakeholders	GE								

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

Owner		Freq	Ahu	CAC	ARMC	Nov-20 Council
Operations (CAC)	PH	Campus Development Programme	Mthly		Report	Report
	PH	Capital Project Dashboard FULL	Feb/Sep			
	PH	Programme and Priorities Review	Qtrly		Report	
	PH	Project Dashboards	Mthly		Report	
	PH	Asset Optimisation	Mthly		Report	
	CS	Asset Compliance Report incl. water rights	Feb			
	PH	Capex Project close-out reporting	Qtrly		Report	
	PO	Current capex repurpose	at 6+6			
	PO	Capex prioritisation	November		Report	Ratify
Operations (ARC)	HG	Monthly financials	Mthly		Report	Ratify
	HG	EOY Financials	Feb			
	PO	Budget/Reforecasting	Qtrly		Report	Report
	PO	10 yr forecast	Jun/Nov		Report	Report
	KF	Recruitment	Mthly			Report
	KF	EFTS Deep Dive	Mar/Aug			
	HG	Insurance	Aug-Nov			Review
	PO	Records Management	Quarterly		Report	Report
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly			Report
	GE	Research	Qtrly			
	GE	Futures Project Dashboards	Qtrly per CFA			
	CS	Awards	Annual			
	BM	Scholarships	??			
	LP	Conferment	Bi-mthly			
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA			
	BM	Strategic risks	Bi-mthly			
	KH	Policy Register Report	Quarterly			
	SR	Business Continuity Planning	Quarterly			
		Lincoln Measures	Feb/Aug			
	PO	Sem 1 and Year End SSP	Feb/Aug			
	PO	Annual report	Mar - May			
	PO	Investment Plan	June + July			
	Various	Subsidiary 6 mthly report	May/Nov			Report
	Various	Subsidiary SCIs	Nov			Ratify SCIs
	Various	Subsidiary Support Letters	February			
	SW	LU Centennial Trust/Foundation	Annual			
	TN	Health and Safety	Mthly		Report	Report
	TN	Health and Safety Internal Audit Plan	Sept			
	TN	Farms Leave report	Qtrly			
		Self-Review of Code Pastoral Care	Nov		Report	
HG	External audits	As needed				
LC	Internal audits	Bi-mthly		Report		
Policies and Compliance	BG	Council policies/Statutes	July			
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		Council interests review				
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	BG	Committee elections	Dec			
	GT	Human Ethics Committee	Feb or Mar			
	BG	Council Indemnity	Feb			
Strategy	GE	Strategy 2019-2028				
	GE	Farms Plan 2019-2023	6 mthly			
Stakeholders	GE					

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

	Owner	Item	Freq	Dec-20		Jan-21	
				CAC	ARMC	Council	CAC
Operations (CAC)	PH	Campus Development Programme	Mthly	Report		Report	
	PH	Capital Project Dashboard FULL	Feb/Sep				
	PH	Programme and Priorities Review	Qtrly				
	PH	Project Dashboards	Mthly	Report			
	PH	Asset Optimisation	Mthly	Report			
	CS	Asset Compliance Report incl. water rights	Feb				
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	PO	Current capex repurpose	at 6+6				
	PO	Capex prioritisation	November	Report		Ratify	
Operations (ARC)	HG	Monthly financials	Mthly		Report	Ratify	
	HG	EOY Financials	Feb				
	PO	Budget/Reforecasting	Qtrly	Report	Report	Ratify	
	PO	10 yr forecast	Jun/Nov				
	KF	Recruitment	Mthly			Report	
	KF	EFTS Deep Dive	Mar/Aug				
	HG	Insurance	Aug-Nov				
	PO	Records Management	Quarterly				
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly				
	GE	Research	Qtrly				Report
	GE	Futures Project Dashboards	Qtrly per CFA				
	CS	Awards	Annual				
	BM	Scholarships	??				
	LP	Conferment	Bi-mthly			Ratify	
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA				
	BM	Strategic risks	Bi-mthly		Report	Report	
	KH	Policy Register Report	Quarterly				Report
	SR	Business Continuity Planning	Quarterly				Report
		Lincoln Measures	Feb/Aug				
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	TN	Health and Safety	Mthly		Report	Report	
	TN	Health and Safety Internal Audit Plan	Sept				
	TN	Farms Leave report	Qtrly				
	Self-Review of Code Pastoral Care	Nov					
HG	External audits	As needed					
LC	Internal audits	Bi-mthly				Report	
Policies and Compliance	BG	Council policies/Statutes	July				
	PO	Fee setting	June				
		Council interests review			Report	Report	
	BG	Council elections and fee review	Dec			Ratify	
	BG	Committee elections	Dec			Ratify	
	GT	Human Ethics Committee	Feb or Mar				
	BG	Council Indemnity	Feb				
Strategy	GE	Strategy 2019-2028					
	GE	Farms Plan 2019-2023	6 mthly				
Stakeholders	GE						

COUNCIL/COMMITTEE WORKPLAN
March 2020 - February 2021

	Owner		Freq	CAC	ARMC	Futures	Feb-20 Council
Operations (CAC)	PH	Campus Development Programme	Mthly	Report			Report
	PH	Capital Project Dashboard FULL	Feb/Sep				
	PH	Programme and Priorities Review	Qtrly	Report			
	PH	Project Dashboards	Mthly	Report			
	PH	Asset Optimisation	Mthly	Report			
	CS	Asset Compliance Report incl. water rights	Feb	Report			Report
	PH	Capex Project close-out reporting	Qtrly	Report			
	PO	Current capex repurpose	at 6+6				
	PO	Capex prioritisation	November				
Operations (ARC)	HG	Monthly financials	Mthly		Report		Ratify
	HG	EOY Financials	Feb		Report		Ratify
	PO	Budget/Reforecasting	Qtrly				
	PO	10 yr forecast	Jun/Nov				
	KF	Recruitment	Mthly				Report
	KF	EFTS Deep Dive	Mar/Aug				
	HG	Insurance	Aug-Nov				
	PO	Records Management	Quarterly		Report		Report
Education and Research (Academic Board and Futures)	LP	Academic Board/CUAP	Mthly				Report
	GE	Research	Qtrly				
	GE	Futures Project Dashboards	Qtrly per CFA			Report	
	CS	Awards	Annual				
	BM	Scholarships	??				
	LP	Conferment	Bi-mthly				Ratify
Delegation and Monitoring	PO/GE	GOG Scorecard	Qtrly per CFA			Report	Report
	BM	Strategic risks	Bi-mthly		Report		Report
	KH	Policy Register Report	Quarterly				
	SR	Business Continuity Planning	Quarterly				
		Lincoln Measures	Feb/Aug		Report		Report
	PO	Sem 1 and Year End SSP	Feb/Aug		Review		Ratify SSP
	PO	Annual report	Mar - May				
	PO	Investment Plan	June + July				
	Various	Subsidiary 6 mthly report	May/Nov				
	Various	Subsidiary SCIs	Nov				
	Various	Subsidiary Support Letters	February				Ratify
	SW	LU Centennial Trust/Foundation	Annual				Report
	TN	Health and Safety	Mthly		Report		Report
	TN	Health and Safety Internal Audit Plan	Sept				
	TN	Farms Leave report	Qtrly				
		Self-Review of Code Pastoral Care	Nov				
HG	External audits	As needed		Audit NZ verbal		Report	
LC	Internal audits	Bi-mthly					
Policies and Compliance	BG	Council policies/Statutes	July				
	PO	Fee setting	June				
		Council interests review			Report		Report
	BG	Council elections and fee review	Dec				
	BG	Committee elections	Dec				
	GT	Human Ethics Committee	Feb or Mar				Ratify
	BG	Council Indemnity	Feb				Ratify
Strategy	GE	Strategy 2019-2028					
	GE	Farms Plan 2019-2023	6 mthly				
Stakeholders	GE						