



UCOL COUNCIL MEETING

MONDAY, 21st SEPTEMBER 2026 AT 10.00AM

Meeting to be held on the Wairarapa Campus

Meeting Room : D-02

Universal College of Learning (UCOL) Council Meeting

Date:	Monday, 21 September 2026
Council Only Time:	9.30am - 10.00am
Commencement of Council Meeting:	10.00am
Lunch:	12.30pm - 1.00pm
Health and Safety Tour: (M-Block - Automotive)	1.00pm - 1.30pm
Council Meeting Resumes:	1.30pm
Council Meeting Concludes:	3.00pm
Venue:	UCOL, Wairarapa Campus Room : D-02, Wharekai
Council Members:	Leanne Southey (Chair), Troy Hobson, Ian McKelvie, Mark Cleaver

Open Meeting Agenda

Item	Paper	Business	Presenter
1.		Welcome / Apologies	Chair
2.		Register of Interests	Chair
3.	57/26	Minutes from Previous Meeting (Open Meeting)	Chair
4.		Chair's Report (<i>Verbal</i>)	Chair
5.	58/26	Council Member Appointment Statute 2026	Chair
6.	59/26	UCOL Internal Audit Policy	Chief Executive
7.	60/26	Health and Safety Report	Chief Executive
8.		Resolution to Exclude Public in accordance with the Public Excluded Agenda	Chair
9.		Close of Open Part of Meeting	Chair

Universal College of Learning (UCOL) Council Register of Interests

Last updated 20 August 2026

Name	Interest	Nature of Interest
Leanne Southey Chair	Trust House Limited	Director
	Kauri Healthcare Limited	Director and Chair
	Masterton Community Trust	Trustee
	Trust House Foundation	Trustee
	Wairarapa Community Health Trust	Trustee
	Southey Sayer Limited	Director and Shareholder
	Southey Sayer Limited	Director and Trustee (role as Chartered Accountant)
	Mangan Graphics Limited	Shareholder
Troy Hobson Deputy Chair	Eastern and Central Community Trust	Chair
	T J Hobson Holdings Limited	Director
	Fonterra Cooperative Council	Council Member
	Growing Future Farmers	Trustee
	HNZ Trust	Trustee
	Tahamata Incorporated	Shareholder
	Dairy Trust Taranaki	Trustee
Ian McKelvie Member	Manawatū Community Housing Trust	Trustee
	Pukemarama Farms Limited	Director
	Manawatū District Council and Horizons Regional Council	Advisory Service
	Manawatū Harness Racing Club	Vice President

Mark Cleaver Member	AgriTechX Limited	Director
	Cleaver Family Trust	Trustee
	Hyper Analytics R&D Limited	Director
	Hyperceptions Limited	Director
	Malbec Consulting Limited	Director and Shareholder
	Massey Ventures Limited	Chief Executive Officer
	MI8 Optics Limited	Director
	MVL Founders Nominees Limited	Director
	Nanophage Technologies Limited	Director
	Rawhitiroa Forest Partnership	Director and Shareholder
	Zambezi Holdings Limited	Director and Shareholder
	Zena Elsie Orr Memorial Trust	Trustee
	Central Energy Trust	Trustee
	CompressTech Limited	Director
	Liposome Holdings	Director
	MVL Trading Limited	Director

Executive Leadership Team Register of Interests

Last updated August 2026

Name	Interest	Nature of Interest
Jasmine Groves Chief Executive	Nil	Nil
Rachel O'Connor Executive Director - Partnerships and Engagement	Reachible Limited	Director and Shareholder
Gianetta Lapsley Executive Director - Quality and Academic Assurance	Nil	Nil
Dean Rankin Executive Dean - Health and Humanities	Nil	Nil
Danny Reilly Executive Dean - Engineering and Applied Technologies	Wayne Green (Auto Technician)	Family Member

Universal College of Learning (UCOL)

Council Meeting

MINUTES

10 August 2026 at 10:00am
Whanganui Campus, Room : E-2-15

Present:	Leanne Southey (Chair), Troy Hobson, Ian McKelvie, Mark Cleaver
In Attendance:	Jasmine Groves (Chief Executive), Rachel O'Connor (Executive Director Partnerships and Engagement), Dean Rankin (Executive Dean, Health and Humanities), Gianetta Lapsley (Executive Director Quality and Academic Assurance), Danny Reilly (Executive Dean, Engineering and Applied Technologies), Paula Birchall (Council Secretary)

ITEM 1: Welcome / Apologies

The Chair welcomed the Council Members and UCOL staff to the meeting.

The meeting opened at 9.55 am.

ITEM 2: Register of Interests

The Chair reminded members to declare any agenda items where a conflict arises between their role as a member of UCOL Council and any private or other external interest they may have, and to stand aside from decision making in respect of that item.

- Nil declarations were recorded for the matters of business for this meeting.

The Chair requested an amendment to one of her interests listed in the Interests Register.

ACTION: Council Secretary to update Council Interests Register.

ITEM 3: 48/26 - Minutes of Previous Meeting (Open Meeting), 29 June 2026

There were no matters arising from the open minutes.

RESOLVED (I. McKelvie / T. Hobson)

That UCOL Council approve the minutes of the UCOL Council open meeting held on 29 June 2026 as a true and correct record.

CARRIED.

ITEM 4: Chair's Verbal Update

Members received a verbal report from the Chair.

- The Chair noted that three Council members attended the Tertiary Education Commission induction session held on 5 August. A brief overview of the session was provided.
- The Chair noted discussions with the Chair of WITT regarding the interface between the entities and opportunities for collaboration. An online discussion with the Chair of Whitireia and WelTec has also been scheduled.
- A skills matrix has been provided to Council members to inform the recruitment and appointment of the remaining three Council members, with appointments anticipated before year end.

The Chair's report was noted.

ITEM 5: 49/26 - Chief Executive Performance Review Committee Terms of Reference

The report and Terms of Reference were taken as read.

- Following brief discussion, it was agreed that section 4.6 of the Terms of Reference be amended to reflect that the CEPR Committee makes a recommendation on the appointment of an Acting Chief Executive, with the appointment subject to consideration and approval by the full Council.

RESOLVED (*M. Cleaver / T. Hobson*)

That the UCOL Council:

1. Approve the Chief Executive Performance Review Committee Terms of Reference subject to the amendment to section 4.6.
2. Confirm the Committee undertake a review of its Terms of Reference at least every two years, or earlier if required.

CARRIED.

ITEM 6: 50/26 - Health and Safety Report

The Health and Safety report was taken as read.

- The Executive Dean, Engineering and Applied Technologies provided an explanation of a notifiable incident which occurred last week. Worksafe were notified.
- The Chief Executive noted, following the departure of the Executive Director Corporate Services, the Health and Safety Advisor will report to the People and Culture Manager, who will provide the required support and assistance and oversee the improvements to reporting.
- Council requested that future incident reporting include campus-level breakdowns, multi-year data and emerging trends.
- The Executive Dean, Engineering and Applied Technologies, provided an overview of the air sampling currently being undertaken in the Mechanical Engineering area.

RESOLVED (*L. Southey / I. McKelvie*)

That the UCOL Council receive the Health and Safety report.

CARRIED.

ITEM 7: 51/26 - Academic Quality Assurance Report

The Academic Quality Assurance Report was taken as read and the following was noted from discussion.

- The refreshed Academic Statute will be provided to Council for consideration and approval at its September meeting.
- The Chief Executive provided an overview of a meeting held with NZQA on 7 August.

RESOLVED (*M. Cleaver / T. Hobson*)

That the UCOL Council receive the Academic Quality Assurance report.

CARRIED.

ITEM 8: Resolution to Exclude Public in Accordance with the Public Excluded Agenda

RESOLVED (*L. Southey / I. McKelvie*)

That the public be excluded from the remainder of the meeting. This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 (LGOIMA) and the particular interest or interests protected by section 9 of the Official Information Act 1982 (OIA), as the case may require, which would be prejudiced by the holding of the relevant parts of the proceedings of the meeting in public.

The general subject of each matter to be considered while the public is excluded and the reason for passing the resolution in relation to each matter are as follows:

Item	General subject of each matter to be Considered	Section(s)
10.	Minutes of the Previous Meeting (Public Excluded) held on 29 June 2026	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
11.	Chief Executive Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA Section 9(2)(j) OIA
12.	Finance Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
13.	Property Divestment Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
14.	UCOL Manawātū Single Stage Business Case (SSBC): Project Update	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
15.	General Business	Section 9(2)(a) OIA Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA Section 9(2)(j) OIA

And that certain UCOL employees namely Rachel O'Connor, Dean Rankin, Gianetta Lapsley, Danny Reilly, and Paula Birchall be permitted to remain at the meeting after the public has been excluded because of their specific knowledge in relation to the above items. This knowledge,

which will be of assistance in relation to the matters above to be discussed, is relevant to those matters because they have assisted in the progression of such matters.

CARRIED.

ITEM 9: Closure of Open Part of the Meeting

There being no further business the Chair closed the open part of the meeting at 10.30am.

Dated:

Signed as a correct record

Leanne Southey
Chair

UCOL Council Meeting

21 September 2026

Agenda Item Number:	5.
Paper Number:	58/26
Title:	Council Member Appointment Statute 2026
Provided By:	Chief Executive, (Jasmine Groves)
Item for:	Approval and Noting

Recommendation

It is recommended that the UCOL Council:

1.	Notes that the Council Appointment Statute 2013 is based on repealed legislation, provides for four Council appointees and includes an iwi nomination process that is not consistent with the direct-appointment framework now applying to polytechnics.
2.	Approves the Council Member Appointment Statute 2026 under section 320 of the Education and Training Act 2020.
3.	Notes that the UCOL Council Appointment Statute 2013 has been superseded by subsequent legislative and organisational changes and is no longer operative. The Council therefore withdraws the statute from the current set of governance documents and records its status as superseded.

Purpose

To seek approval of a new statute governing how the UCOL Council appoints its three Council-appointed members.

Background

The 2013 Council Appointment Statute was approved in 2012. It was developed under the legislative and governance arrangements that applied to UCOL at that time, including a different Council structure and appointment process. Subsequent legislative and organisational changes, including UCOL's transition to a Crown entity company in 2020 and later governance reforms, have superseded those arrangements. As a result, the statute is

no longer relevant to UCOL's current governance framework and it no longer provides a sound legal or practical basis for future appointments.

The Constitution of Universal College of Learning Council Notice 2025 came into force on 21 November 2025. It establishes a seven-member Council: four members appointed by the Minister and three appointed by Council. It also provides that a person may not be appointed as a Council member on more than three occasions.

Sections 317 to 320 of the Education and Training Act 2020 now contain the provisions specific to polytechnic councils. Section 320 permits a polytechnic council to make a statute only for how it appoints members directly. The proposed statute has been drafted on that basis.

Schedule 11 of the Education and Training Act 2020 sets out the framework for the appointment, reappointment, tenure, and removal of Council members. It specifies the requirements and processes that apply to Council appointments, including eligibility criteria, terms of office, and matters relating to vacancies and Council membership.

This replaces references to the repealed Education Act 1989 with the current polytechnic provisions in the Education and Training Act 2020.

The most significant change is the removal of the former iwi nomination category. This is not intended to reduce the importance of mana whenua relationships or Māori governance capability. It reflects the statutory requirement that all three positions are appointed directly by Council. The candidate search would enable Council to consider Te Tiriti, tikanga Māori and regional relationships when assessing its collective capability.

The draft avoids fixed quotas for individual skills. With a seven-member Council and four appointments controlled by the Minister, Council needs flexibility to use its three appointments to address the capability and representation gaps that currently exist.

Supporting Information

Appendix I - Council Member Appointment Statute 2026



Council Member Appointment Statute 2026

Campuses and sites at:

Manawatū

Wairarapa

Whanganui

Horowhenua

Pursuant to section 320 of the Education and Training Act 2020 the Council resolves that:

1. This statute may be cited as the **Council Member Appointment Statute 2026**.
2. This statute comes into force on the date of its approval by Council.
3. The Council Appointment Statute 2013 has been superseded by subsequent legislation and organisational changes and is no longer operative. Accordingly, the statute is withdrawn from UCOL's governance framework.

Signatures:

_____ Date: _____
Member, UCOL Council

_____ Date: _____
Member, UCOL Council

1. Purpose

- 1.1 This Statute is made under section 320 of the Education and Training Act 2020 (“the Act”).
- 1.2 The purpose of this statute is to establish a transparent, robust and lawful process by which Council directly appoints the three Council-appointed members provided for in the Constitution of Universal College of Learning Council Notice 2025.
- 1.3 The appointment process is intended to ensure that:
 - a) each appointee contributes to the governance of UCOL; and
 - b) the Council, considered collectively, possesses the knowledge, skills, experience, and perspectives needed to govern UCOL effectively and serve its communities.

2. Membership

- 2.1 In accordance with the Constitution of Universal College of Learning Council Notice 2025, and section 317 of the Act, the Council comprises of seven members, as follows:
 - four members appointed by the Minister; and
 - three members appointed by the Council by resolution in accordance with this Statute.
- 2.2 This statute applies only to the appointment and reappointment of Council-appointed members and does not apply to appointments made by the Minister.
- 2.3 The three Council-appointed positions are not representative positions. The Council must make appointments having regard to the overall capability, diversity and effectiveness of the Council as a governing body.

3. Appointment Principles

- 3.1 Council must make appointments on merit and with regard to the collective needs of Council and the communities UCOL serves.
- 3.2 In making an appointment, Council must:
 - a) have regard to the requirements of section 318 of the Education and Training Act 2020;
 - b) seek, so far as reasonably practicable, to ensure Council reflects the communities served by UCOL;
 - c) appoint persons who, in the Council’s opinion:
 - i. have relevant knowledge, skills and experience in governance;
 - ii. are likely to fulfil the duties of a Council member; and
 - iii. together with the other members of Council, are capable of undertaking the Council’s responsibilities, duties and functions;
 - d) recognise the principles of Te Tiriti o Waitangi and seek perspectives that strengthen Council’s relationships with mana whenua, hapū, iwi and Māori communities;
 - e) seek an appropriate balance of regional, cultural, gender, socio-economic, professional and lived experience; and
 - f) conduct the appointment process fairly, consistently, confidentially and with declared conflicts of interest appropriately managed.

4. Appointment Process

4.1 Determine Council Needs

4.1.1 Before seeking candidates, Council must review:

- a) its current and anticipated composition;
- b) succession planning requirements;
- c) its governance capability matrix; and
- d) the knowledge, skills, experience and perspectives sought for the vacancy.

4.2 Seek Candidates

4.2.1 Council may use an open expression-of-interest process, a targeted search, an external recruitment adviser, or a combination of these methods.

4.2.2 The search must be sufficiently broad and deliberate to identify a credible and diverse field. This may include engagement with mana whenua, hapū and iwi; Pacific communities; industry and employers; local government; regional and community organisations; alumni; education partners; and professional networks across Manawatū, Whanganui, Wairarapa, Horowhenua and other communities UCOL serves.

4.3 Assess Candidates

4.3.1 Council must give consideration to:

- the desired balance of knowledge, skills, experience and diversity on Council with reference to the criteria for appointment set out in clause 3 of this statute;
- must call publicly for applications from interested persons (and determine the process and timeframe in which applications must be provided) and may also identify suitable candidates of its own initiative;
- ensuring that potential candidates are considered on merit and against the criteria for appointment set out in clause 3 of this statute;
- must have regard to the importance of diversity of Council membership (including as provided in section 318 of the Education and Training Act 2020).

4.4 Appoint

4.4.1 Council appoints a member by resolution. The resolution must state the date on which the appointment takes effect and the term of appointment.

4.4.2 The Council Secretary must notify the appointee in writing and advise unsuccessful candidates promptly and respectfully.

5. Term and Reappointment

5.1 The provisions governing terms of members, vacation of office, casual vacancies and removal of members are as set out in Schedule 11 of the Education and Training Act 2020.

5.2 In accordance with clause 6, Schedule 11, a Council appointed member may be appointed for a term not exceeding four years.

- 5.3 The resolution appointing a Council member must specify:
- (a) the date on which the appointment takes effect; and
 - (b) the term of appointment.
- 5.4 The Council may re-appoint any member of Council for a second or subsequent term, provided that the total period for which that person is a member of the Council does not exceed 12 years (consecutive or otherwise).

UCOL Council Meeting

21 September 2026

Agenda Item Number: Paper Number:	6. 59/26
Title:	Internal Audit Policy
Provided By:	Manager Corporate Assurance and Risk (Carol Christison)
Item for:	Approval and Noting

Recommendation

It is recommended that the UCOL Council:

1.	Approve the Internal Audit Policy attached (Ref: Appendix I), with effect from the date of Council approval.
2.	Notes that the next step is to develop the 2027-2028 Internal Audit and Assurance Plan for Finance, Risk and Audit Committee (FRAC) and Council approval.

Purpose

To seek Council approval of the draft Internal Audit Policy, which establishes the purpose, responsibilities, scope, and reporting arrangements for UCOL's internal audit function.

Summary

The draft policy establishes the governance framework, authority, independence and reporting arrangements for UCOL's internal audit function. It applies across UCOL's operations, activities and systems and defines the responsibilities of those involved in the governance, oversight, delivery and support of internal audit.

This draft policy formalises the re-establishment of UCOL's internal audit function as part of its assurance programme. Responsibility for internal audit has, in recent years, been centralised under Te Pūkenga/NZIST, which assumed oversight and delivery of internal audit activities. With the transition back to UCOL, this policy provides the framework for reinstating and governing the internal audit function within UCOL's assurance arrangements.

The policy positions internal audit as an independent and objective assurance and advisory function that supports UCOL to achieve its objectives by evaluating and improving governance, risk management and internal control processes. It sets expectations for professional standards, resourcing, objectivity, reporting, coordination with other assurance providers and access to relevant information.

To maintain its independence, the internal audit function will report functionally to the Chair of Finance, Audit and Risk Committee (FRAC) and administratively to the Chief Executive. Authorised internal audit personnel will have full and timely access to the information, systems, records, property and personnel necessary to undertake their work in accordance with applicable legal, privacy, confidentiality and information security obligations.

Key Points

- Council is responsible for approving the Internal Audit Policy and receiving the annual internal audit summary report.
- FRAC oversees the internal audit function, including endorsing the policy, approving the risk-based internal audit and assurance plan, and monitoring delivery and resourcing.
- The policy adopts the Three Lines Model and confirms internal audit as the third line, providing independent assurance on governance, risk management and internal controls.
- The policy is to be reviewed at least every two years, or earlier if circumstances require.

Internal Audit and Assurance Plan

Following approval of the policy, a 2027-2028 Internal Audit and Assurance Plan will be developed for FRAC and Council approval. The plan will use a risk-based methodology and will typically cover a two-year audit programme.

The risk assessment will consider matters such as the risk of loss of assets, financial materiality, previous audit or management findings, changes in management, complexity, changes in services or technology, unusual circumstances and the time elapsed since an area was last audited.

The plan will be reviewed annually and adjusted as required so that emerging or urgent issues can be prioritised. Proposed audit coverage, timing and resource requirements will be presented through the approval process.

Supporting Information

Appendix I - Draft Internal Audit Policy

Internal Audit Policy

Controlled Document – refer to Official Documents site for the latest version of this document

Version:	26.1	Date Effective:	Tbc
Responsibility:	Manager Corporate Assurance and Risk	Date Reviewed:	Tbc
Approver:	UCOL Council	Next Review Date:	Tbc

1. Purpose

- 1.1 This policy establishes the purpose, authority, responsibilities, and reporting arrangements of UCOL's internal audit function. It defines the scope of internal audit activities and authorises appropriate access to records, personnel, and property required to undertake internal audit activities.

Internal audit supports UCOL in achieving its objectives by providing independent and objective assurance, advice and insight on the effectiveness of governance, risk management, and control processes, and by identifying opportunities for improvement.

2. Organisational Scope

- 2.1 This policy applies to all UCOL operations, activities, systems, and entities under UCOL's control. It applies to all employees, contractors, and other persons engaged by UCOL and, where relevant, Council and Committee members.

3. Roles and Responsibilities

Role	Responsibilities
Council	Approve the Internal Audit Policy and receive the annual internal audit summary report.
Finance, Risk and Audit Committee (FRAC)	Review and endorse this policy for Council approval; approve the risk-based internal audit and assurance plan, budget and resource plan; receive audit reports, annual reports and quarterly status reports; and enquire into any inappropriate scope or resource limitations.
Chief Executive	Review internal audit reports; approve management responses and agreed actions; and review and endorse the risk-based internal audit and assurance plan.
Manager Corporate Assurance and Risk	Develop and maintain the risk-based internal audit and assurance plan; communicate resource limitations and significant plan changes; ensure engagements are delivered to an appropriate professional standard; follow up findings and corrective actions;

Role	Responsibilities
	maintain independence, capability and a quality assurance and improvement programme; coordinate with other assurance providers; report to Chief Executive and FRAC; and lead reviews of this policy.
Internal audit staff and service providers	Provide independent and objective assurance and advisory services; disclose actual or perceived impairments to independence or objectivity; gather, evaluate and communicate information objectively; make balanced assessments; protect confidential information; and avoid undue influence or conflicts of interest.
All UCOL staff	Provide timely access to information, systems, records, property and personnel relevant to an internal audit engagement; cooperate with internal auditors; and implement agreed management actions within approved timeframes.

4. Policy Statements

4.1 Purpose and mission of internal audit

4.1.1 The mission of internal audit is to enhance and protect organisational value. The internal audit function provides independent and objective assurance, advice and insight to add value and improve UCOL's operations. It uses a systematic and disciplined approach to evaluate and improve governance, risk management and control processes.

4.2 Professional standards

4.2.1 The internal audit function will operate in accordance with the mandatory requirements and principles issued by The Institute of Internal Auditors, and all relevant ethical requirements. The Manager Corporate Assurance and Risk will report periodically to the Chief Executive and FRAC on conformance with these standards and any action required to address significant conformance issues.

4.3 Governance and oversight

4.3.1 FRAC provides oversight of the internal audit function and ensures it has the authority, independence, and resources necessary to fulfil its responsibilities effectively. Internal control comprises the processes intended to provide reasonable assurance regarding:

- achievement of established operational objectives and goals;
- economic and efficient use of resources;
- reliability and integrity of financial and non-financial information;
- compliance with relevant policies, procedures, laws and regulations; and
- safeguarding of assets.

4.3.2 To establish, maintain, and assure that UCOL's internal audit function has sufficient authority to fulfil its duties, FRAC will:

- review and endorse the Internal Audit Policy for Council approval.
- approve the risk-based annual internal audit and assurance plan.
- receive communications from the Manager Corporate Assurance and Risk on internal audit performance relative to its plan and other matters.
- make appropriate inquiries of the Chief Executive and the Manager Corporate Assurance and Risk to determine whether there is inappropriate scope or resource limitations to execute internal audit activities.

4.3.3 This policy must be read alongside UCOL's Risk Management Policy and other relevant assurance and governance documents.

4.4 Authority and access

4.4.1 The Manager Corporate Assurance and Risk reports functionally to the Chair of FRAC on internal audit matters and administratively to the Chief Executive.

4.4.2 FRAC authorises the Manager Corporate Assurance and Risk and authorised internal audit personnel to:

- have full, free and unrestricted access to all functions, records, systems, property, personnel, contractors, and activities relevant to the performance of approved audit work, subject to applicable legislative, privacy, confidentiality, and information security requirements.
- allocate resources, set frequencies, select subjects, determine the scope of work, apply appropriate techniques and issue reports.
- obtain assistance from UCOL staff and engage appropriate specialist or external services to perform internal audit activities.

4.5 Internal audit resourcing

4.5.1 The internal audit function is managed by the Manager Corporate Assurance and Risk. Delivery may be resourced through UCOL staff, an external internal audit service provider, specialist advisers, or an appropriate combination of these resources. All resources remain subject to this policy and relevant professional requirements.

4.6 Independence and objectivity

4.6.1 The internal audit function must remain free from conditions that threaten its ability to carry out responsibilities objectively, including interference with audit selection, scope, procedures, frequency, timing or report content. Any actual or perceived impairment must be disclosed promptly to the appropriate parties.

4.6.2 Internal auditors have no direct operational responsibility or authority over activities they audit. They must not implement controls, develop procedures, install systems, prepare operational records or undertake other activities that may impair their judgement. In particular, they must not:

- a) assess an operation for which they had direct responsibility within the previous year;
- b) perform operational duties for UCOL;
- c) initiate or approve transactions outside the internal audit function;
- d) direct staff outside the internal audit function, except where those staff have been assigned to an audit team or to assist an engagement.

4.6.3 The internal auditors will:

- disclose any actual or perceived impairment of independence or objectivity to the appropriate parties.
- maintain professional objectivity when gathering, evaluating, and communicating information.
- make balanced assessments based on relevant facts and circumstances.
- take reasonable precautions to avoid actual, potential, or perceived conflicts of interest or undue influence from others when forming professional judgements.

4.6.4 Where the Manager Corporate Assurance and Risk has responsibilities outside internal audit, appropriate safeguards must be established. Organisational independence will be confirmed to FRAC at least annually, including disclosure of any interference and its implications.

4.7 Scope of internal audit activities

4.7.1 Internal audit may review any activity, programme, function, system, project, process, partnership, or controlled entity of UCOL to assess the adequacy and effectiveness of governance, risk management, internal controls, compliance obligations, and organisational performance. The internal audit function may provide assurance and advisory services and make recommendations to improve governance, risk management, and control processes

4.7.2 The Manager Corporate Assurance and Risk will report periodically to the Chief Executive and FRAC regarding:

- the internal audit plan and performance against the plan;
- conformance with professional and ethical requirements, including action plans for significant issues;
- significant risk exposures and control issues, including fraud and governance matters;
- results of engagements and other internal audit activities;
- resource requirements; and
- any management acceptance of risk that may be unacceptable to UCOL.

4.7.3 Internal audit will coordinate with, and may rely on, other internal and external assurance providers where appropriate. Opportunities to improve the efficiency or effectiveness of governance, risk management and control processes will be communicated to the appropriate level of management.

4.8 Reporting

Report	Recipients	Timing	Content
Internal audit reports	Chief Executive and FRAC; external auditor where appropriate	At the end of each audit	Objective and scope; executive summary; findings and recommendations; management response; agreed actions, owners and timeframes.
Annual report against the audit plan	ELT, FRAC and Council; external auditor where appropriate	By the end of Q1 for the previous year	Achievement against the audit plan, resourcing and budget; major findings and recommendations; changes to the plan.
Internal Audit and Assurance Plan	Chief Executive, FRAC and Council; external auditor where appropriate	By the end of Q4 for the following year	Proposed risk-based internal audit and assurance programme and resource requirements.
Interim status reports	Chief Executive and FRAC	Quarterly	Progress against the current plan; significant changes; summary of major findings, recommendations and overdue actions.

4.9 Risk and Assurance – Three Lines of Defence Model

4.9.1 UCOL adopts the Three Lines Model as part of its governance and assurance framework.

- First Line: Management and operational staff are responsible for identifying, managing, and controlling risks within their areas of responsibility.
- Second Line: Risk, compliance, health and safety, quality, and other oversight functions support and monitor risk management and control activities.
- Third Line: Internal audit provides independent assurance to the Chief Executive, FRAC, and Council on the effectiveness of governance, risk management, and internal control processes.

4.9.2 Internal audit maintains its independence from operational and oversight functions while coordinating assurance activities with other assurance providers where appropriate.

4.10 Review of this policy

This policy will be reviewed at least every two years, or earlier where circumstances require. It must be endorsed by FRAC and approved by Council to formally establish and maintain the authority of the internal audit function.

5. References

Internal • Risk and Assurance Policy • Risk Management Framework • Delegations Policy and related governance documents • Annual Internal Audit and Assurance Plan
External • Public Finance Act 1989 • Crown Entities Act 2004 • Education and Training Act 2020 • Public Records Act 2005 • The Institute of Internal Auditors • Office of the Auditor-General Guidance

6. Definitions

Term	Definition
Assurance services	Objective examinations of evidence undertaken to provide assessments of governance, risk management and control processes.
FRAC	UCOL's Finance, Risk and Audit Committee.
Independence	Freedom from conditions that threaten the ability of the internal audit function to perform its responsibilities in an unbiased manner.
Internal audit	An independent and objective assurance and advisory activity designed to add value and improve UCOL's operations.
Internal control	Processes designed to provide reasonable assurance that operational, reporting, compliance and safeguarding objectives will be achieved.
Objectivity	An impartial mental attitude that enables internal auditors to make balanced judgements without undue influence.
Three lines model	A governance framework that assigns responsibilities for risk management, oversight, and independent assurance across an organisation.

Document Version History

Version	Effective Date	Created/Reviewed By	Reason for review
26.1	Tbc	Manager Corporate Assurance and Risk	New policy introduced as part of UCOL's establishment as a legal entity.

UCOL Council Meeting

21 September 2026

Agenda Item Number: Paper Number:	7. 60/26
Title:	Health and Safety Report
Provided By:	Senior Health and Safety Advisor (David Sims)
Item for:	Noting

Recommendation

It is recommended that the UCOL Council:

1.	Receives the Health and Safety Report.
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Executive Summary

This report provides the Council with oversight of UCOL's health, safety, and wellbeing performance for the months of July and August 2026. This report supports Council members in exercising their legal due diligence duties under the Health and Safety at Work Act 2015 (HSWA). The report contains information on incident reporting, critical incidents and strategic control measures. The report follows the headings provided in the UCOL Health & Safety (H&S) Programme of Work.

Key Points

- WorkSafe closed the notifiable event from August
- Sixteen incidents reported during July/August period
- No Lost Time injuries were reported

Incident / Accident Reporting

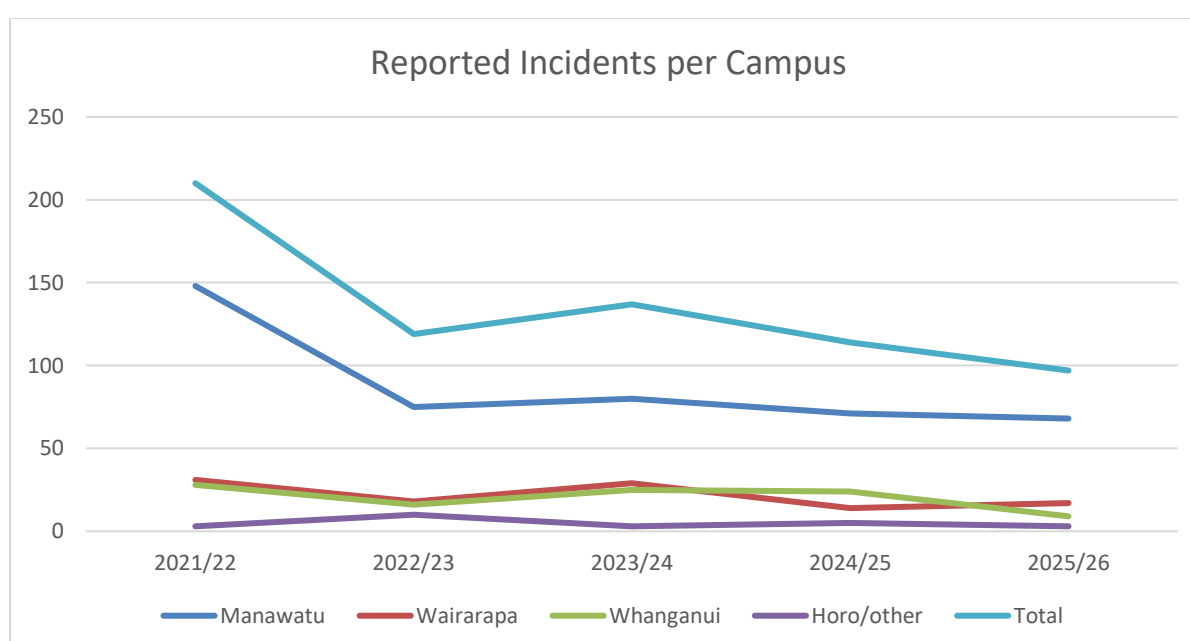
There were 16 reported incidents for the July/August period with one notifiable incident.

The Health & Safety Advisor continues to work with the Executive Leadership Team and Health & Safety Representatives to highlight the need to report all incidents and near misses.

Protecht has been modified to report on incident categories (e.g. slip, trip or fall; manual handling; hazardous substances etc) to enable better reporting and identification of trends and hazards. For the year commencing 1 January 2026, the reported incidents are as outlined below.

A notable incident was recorded at the Wairarapa campus involving a member of the public on campus. Following an investigation a recommendation was made to hold a drop-in session for Wairarapa campus kaimahi led by Police Iwi Liaison, campus leadership and the Health and Safety Advisor.

Recorded Incidents 2026									
Category	Jan	Feb	Mar	Apr	May	June	July	Aug	Total
Slip, trip or fall	1	2			1			2	6
Manual handling						1			1
Ergonomic/workstation									0
Aggression/violence			4	2	4			3 ¹	13
Sharps/needle stick		4	3	1	1	2		1	12
Burn							1		1
Hazardous substance								1	1
Discomfort, Pain, Injury								1	1
Equipment/plant			1	3	1				5
Vehicle/transport									0
Psychological health								1	1
Medical Event	1	2	4		1	2		2	12
Near miss		3		2	1				6
Other	1	1			2		1	3	8
Total	3	12	12	8	11	5	2	14	67



¹ Three incident reports were submitted for one incident.

Lost Time Injuries (LTIs)

There were no LTIs recorded for this period.

Notifiable Injuries

A notifiable incident occurred on 3 August on the Manawatu campus in the hospitality kitchen. An ākonga suffered a knife cut injury to their left ring finger while cleaning knives and required specialist surgical treatment for a severed nerve. The ākonga returned to study following medical clearance and continued participation through theory work and observation of practical activities. The ākonga had received the theory and practical training on knife safety, handling, care, storage and cleaning procedures.

An internal investigation has been completed and identified the following corrective actions:

- reinforcement of safe hazardous equipment use;
- refresher health and safety instruction for ākonga; and
- recommendation that knives are added to the hazardous equipment induction list.

These corrective actions have been implemented. WorkSafe were notified and have confirmed that they will be taking no further action.

The Council have requested history of notifiable incidents, retrospectively compilation of this information is underway.

Policies / Procedures

The following policies and procedures have been reviewed and updated during this reporting period.

- Animals on Campus Policy
- Authority to Operate a Forklift Form
- Contractor Management Health and Safety Guidelines
- Contractor Management on UCOL Campuses Policy and Procedure
- Rehabilitation and Return to Work Policy and Procedure

Emergency Preparedness

The EM (Emergency Management) scenario training is scheduled to take place during the last term of 2026.

Auditing / Monitoring

Workplace audits occur every six months, i.e. each January and July during term breaks. These are undertaken by the Health and Safety Representatives with support from Health and Safety. Twelve area audits have been undertaken in July/August. Three corrective actions were identified and completed with one further action in discussion with Facilities Management.

Contractor Management

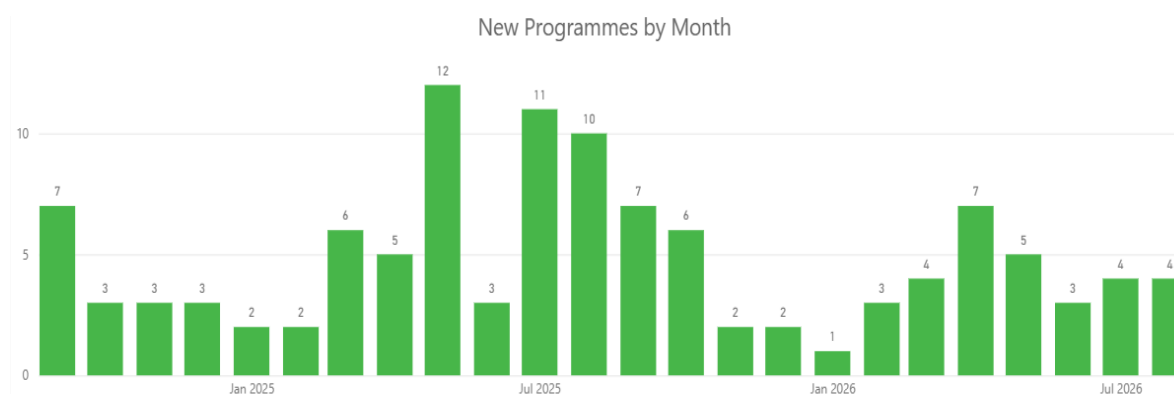
Trade Contractor management and pre-qualification remain a function of Facilities Management. Faculty are responsible for pre-qualification and site induction for contractors directly employed by them. Health & Safety become involved if requested to assist in reviewing work methods that may lead to increased risk on campus.

Competence/Training and Awareness/Inductions

The Health and Safety Advisor undertook eight Health & Safety inductions for new staff during this reporting period.

Employee Assistance Programme

UCOL continues to maintain a proactive partnership with EAP Services to mitigate workplace psychosocial hazards and foster mental health support. Counselling and health coaching support programs continue to be accessed steadily by kaimahi. The below graph shows how many new interactions kaimahi have with EAP each month. UCOL continues to encourage access to EAP and continue to see positive uptake with the service.



Critical Risk Management and Operations

Seismic Risk and Disaster Preparedness

- Focus remains on maintaining a high internal ratio of staff certified in first aid and evacuation chair handling.
- Currently approximately 1-6 ratio of trained first aiders, 1-30 ratio of evacuation chair handling.

High-Risk Learning Environments (Trades, Services, and Labs)

- Lecturers continue to track and enforce strict Personal Protective Equipment (PPE) protocols during inspections to address inconsistent usage patterns.
- Staff-to-student ratios are actively managed to preserve individualised feedback on technical tasks, mitigating physical injuries (e.g. cuts, abrasions, chemical hazards)
- Vulnerable younger learners face strict isolation from high-risk tools until a lecturer formally signs off on their physical competence and safety judgement.

Ergonomic Hazards

- Lecturers monitor programmes involving sustained static postures or heavy lifting, such as early childhood education, hairdressing, and construction.
- EAP Services/Habit Health are currently the preferred provider of the Workstation Ergonomic Assessments that are available for staff however, no requests were received in the last reporting period.

Vehicular Use - (Section 20 HSWA Compliance)

- All UCOL vehicles are managed under strict PCBU workplace standards. Staff must submit valid licences and complete supervised AA training before transporting students in UCOL passenger vans. Training records are held by both UCOL Facilities Management and AA.

- The central booking software automatically triggers management alerts if any reservation schedules more than 5 hours of driving in a single day. Vehicles are monitored with GPS tracking which improves driver safety through greater visibility in driver behaviour.
- As vehicles are driven by multiple users, any individual cases of erratic or excessive speed are flagged and reported by Facilities Management to both Health and Safety and the staff members direct line Manager.
- Facilities Management holds all the information regarding vehicle use.

Violence, Harassment, and De-escalation

- Staff are advised to disengage and de-escalate instances of student friction or abusive behaviour. Security coverage is fully maintained on the Manawatū campus, alongside active access controls across all alternative regional facilities.
- De-escalation training is not currently part of any induction process, but consideration should be given to advice on this being included and part of a new employee process as well as offered to any staff that feel they would benefit.
- Following an incident on the Wairarapa Campus a 'drop in' session is due to be held in September led by a NZ Police Liaison Officer, campus leadership and the Health and Safety Advisor.

Environmental and Occupational Health

- The planned air sampling in the Mechanical Engineering area has been postponed with plans to revisit following repairs of the extraction system. Once the repairs are completed there will be a further assessment with UCOL environmental measuring equipment ensuring the air volume intake and use of on-torch extraction units are an effective control and fully compliant with New Zealand Workplace Exposure Standards.
- Due to the high rates of infection occurring in New Zealand the UCOL staff influenza vaccination program has been extended to September 30th. At the time of writing 12 people had requested vouchers to attend an off-site clinic.

Worker Engagement and Participation (Lead Indicators)

Health and Safety Representative (HSR) Capacity

- The active Health and Safety Representative network fell to 19 members in August following two resignations.
- The monthly Health and Safety Representative catch-up continues to provide a voice for frontline staff to be able to express any ideas or opinions they feel may contribute to safety and wellbeing at UCOL.
- Health & Safety Representative Meetings were held in July and August. Discussions included environmental monitoring and reported incidents. Representatives also had the opportunity to discuss current issues with the wider group.
- An online de-escalation training course provided by 'ShopCare Charitable Trust' was provided to the representatives asking for feedback on suitability for UCOL kaimahi.

Competency Training

- Focus remains on maintaining a high internal ratio of staff certified in first aid and evacuation chair handling. Currently approximately 1-6 ratio of trained first aiders, 1-30 ratio of evac chair handling. Four staff completed revalidation of Comprehensive First Aid training during this reporting period.

Public Excluded Agenda

It will be moved by the Chair that the public be excluded from the remainder of the meeting. This resolution will be made in reliance on section 48(1) of the Local Government Official Information and Meetings Act 1987 (LGOIMA) and the particular interests protected by section 9 of the Official Information Act 1982 (OIA) which would be prejudiced by the holding of the relevant parts of the proceedings of the meeting in public.

The general subject of each matter to be considered while the public is excluded, the reason for passing the resolution in relation to each matter are as per the table below:

Item	General subject of each matter to be Considered	Section(s)
10.	Minutes of the Previous Meeting (Public Excluded) held on 10 August 2026	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
11.	Correspondence	Section 9(2)(g)(ii) OIA
12.	Chief Executive Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA Section 9(2)(j) OIA
13.	Standing Delegations Policy Update	Section 9(2)(b)(ii) OIA
14.	Long-Term Strategy : Governance Approach and Next Steps	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA
15.	Academic Delivery Schedule - Alignment to Funding	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA
16.	Finance Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
17.	2026/2027 Annual Insurance Renewal and Fire Limit	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA
18.	Property Divestment Report	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
19.	UCOL Manawatū Single Stage Business Case (SSBC): Project Update	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA
20.	Wairarapa REAP - Building and Land	Section 9(2)(b)(ii) OIA Section 9(2)(g)(ii) OIA Section 9(2)(i) OIA

The Chair will also move that certain employees from UCOL be permitted to remain at the meeting, after the public has been excluded because of their specific knowledge in relation to the above items. This knowledge, which will be of assistance in relation to the matters above to be discussed, is relevant to those matters because they have assisted in the progression of such matters.

Interests

Section	Interest
Section 9(2)(a) OIA	To protect the privacy of natural persons, including that of deceased natural persons.
Section 9(2)(b)(ii) OIA	To protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information.
Section 9(2)(g)(ii) OIA	To maintain the effective conduct of public affairs through the protection of such Ministers, members of organisations, officers, and employees from improper pressure or harassment.
Section 9(2)(h) OIA	To maintain legal professional privilege.
Section 9(2)(i) OIA	To enable a Minister of the Crown or any public service agency or organisation holding the information to carry out, without prejudice or disadvantage, commercial activities.
Section 9(2)(j) OIA	To enable a Minister of the Crown or any public service agency or organisation holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations).