


Council Agenda Part A (Open Agenda)			Page #
28.04.2025 Council Room – Level 2 ClockTower, Princes Street 22, Auckland 4:00pm			
COUNCIL BRIEFINGS	These will take place prior to the meeting		
KARAKIA	The meeting will be opened with the following karakia at the beginning of the briefings:		
	Te Reo: Tūkua te wairua kia rere ki ngā taumata Hei ārahi i ā tātou mahi Me tā tātou whai i ngā tikanga ā rātou mā Kia mau, kia ita Kia kore ai e ngaro Kia pupuri Kia whakamaua Kia tina! TINA! Hui e! TĀIKI E!	English Translation: Allow one's spirit to exercise its potential To guide us in our work As well as in our pursuit of our ancestral traditions Take hold and preserve it Ensure it is never lost Hold fast Secure it Draw together - Affirm	
1. APOLOGIES	The Chancellor moves that the apologies, if any, be noted .		
2. DISCLOSURES OF INTEREST BY MEMBERS	The attention of Members is drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.	The Chancellor moves that the disclosures, if any, be noted and the action taken be endorsed .	
3. COUNCIL MEETINGS	3.1 Council, Draft Minutes (Part A), 17.03.2025	The Chancellor moves that the Minutes (Part A), 17.03.2025 be taken as read and confirmed .	7
	3.2 Matters arising from the Minutes (Part A), 17.03.2024 not elsewhere on the Agenda		

4. VICE-CHANCELLOR'S REPORT		The Chancellor moves that the Vice-Chancellor's Report be noted .	14
5. REPORTS OF COUNCIL COMMITTEES	none		
6. SENATE MATTERS	<p>6.1 REPORT OF SENATE MEETING 07.04.2025</p> <p>Part A1: Policy and other matters requiring to be considered/received by Council</p> <p>Part A2: No matters requiring Council approval</p> <p>Part B,1: Items to note by Council</p> <p>Part C, 1-6: Matters handled under Delegated Authority</p>	The Chancellor moves that the recommendations in Part A of the Report of Senate, 03.03.2025 be adopted and Parts B and C be noted	26
7. CORRESPONDENCE REFERRED BY THE CHANCELLOR	None		
8. OTHER MATTERS FOR DECISION OR NOTING	<p>8.1 SEAL</p> <p>Since the Council meeting on 17.03.2025 the seal has been applied to the following documents in accordance with the Council resolution of 18.02.1991:</p> <ul style="list-style-type: none"> • Deed of Variation of Lease, Ground Floor, Bldg. 6ED, Epsom Campus, 74 Epsom Ave, Auckland, University of Auckland (Landlord) & Te Puna Kohungahunga Trust (Tenant) • Deed of Rent Review, 6 Osterley Way, Manukau, Takahe Properties Ltd (Landlord) & the University of Auckland (The Tenant) 	The Chancellor moves that the affixing of the seal to the listed document be noted .	
	<p>8.2 SENATE AND COMMITTEE ELECTIONS STATUTE</p> <p>8.2.1 Memorandum, 07.03.2025 from the Registrar</p> <p>8.2.2 Senate and Committee Elections Statute 2025</p>	The Chancellor moves that Council approve the update of the Senate and Committee Elections Statute	31

	<p>8.3 STANDARD OPERATING PROCEDURES (SOPS) FOR INSTITUTIONAL ETHICS COMMITTEES (IECS)</p> <p>8.3.1 Memorandum, 28.04.2025 from the Deputy Vice-Chancellor, Research & Innovation, Professor Frank Bloomfield</p> <p>8.3.2 Letter of Agreement - AHREC Governance Board</p> <p>8.3.3 Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)</p>	<p>The Chancellor moves that that Council approve the changes to the Terms of Reference for AHREC and UAHPEC effective 28 April 2025 and note that these will be published to the University website once approved.</p>	37
9 ELECTIONS - APPOINTMENTS	<p>9.1 REPORT FROM THE VICE-CHANCELLOR'S REVIEW AND EXECUTIVE REMUNERATION COMMITTEE (VCRERC) REGARDING THE COUNCIL MEMBER APPOINTMENTS</p>	<p>The Chancellor moves that that Council note the Report from the VCRERC</p>	
10. GENERAL BUSINESS			
11. LEAVE OF ABSENCE	(for the meeting of 11.06.2025)		

PUBLIC EXCLUSIONS

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

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

General subject of each matter to be considered:

- Item No. 1.1 Council Minutes Part B 17.03.2025
- Item No. 2.1.1 Honours Committee – Professor Emeritus proposals
- Item No. 2.2.1 Human Participants Ethics Committee – 2024 Annual Report
- Item No. 2.3.1 Auckland Health research Ethics Committee 2024 Annual Report and Membership
- Item No. 2.4.1 Animal Ethics Committee – 2024 Annual Report
- Item No. 2.5.1 Biological Safety Committee – 2024 Annual Report
- Item No. 4.1. Student Enrolments – 2025 Early Outlook

Reason for passing this resolution in relation to each matter:


The protection of the interests mentioned below.

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

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

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

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

Council Minutes Part A (Open Minutes) 17.03.2025 Online via Zoom 4:00pm		
PRESENT:	Ms Tarrant (Chair), Professor Freshwater (Vice-Chancellor), Professor Tolmie, Ms Kinser, Mr Mason, Mr Paitai, Mr Fa, Ms Skipper, Ms Quinn, Ms Arnott-Neenee and Mr McDonald	
IN ATTENDANCE:	Mrs Cleland, Professors Holdaway, Kool and Bloomfield F, Dr Lithander, Ms Moss, Mr Bluett, Mr Neale, Ms Catanach, Mr Thomas, Mr Brandon, Mr Rose, and Ms Verschaeren	
COUNCIL BRIEFINGS	The briefings took place prior to the meeting	
KARAKIA	The meeting started with a karakia	
1. APOLOGIES	None	
2. DISCLOSURES OF INTEREST BY MEMBERS	<p>The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.</p> <p>With regard to item 2.3.4 in Part B, Ms Skipper advised Council that her brother worked for the construction company proposed in that item.</p> <p>With regard to item 2.3 in Part B Mr Fia declared a conflict with the Melanesian Mission Trust Board</p> <p>It was agreed that these declared conflicts would not preclude the members participating in the discussions and voting.</p>	<p>RESOLVED (Chancellor/ Professor Tolmie): That the disclosures be noted, and the action taken be endorsed.</p>
3. HONOURS/AWARDS-NEW YEAR HONOURS	The Chancellor and Vice-Chancellor had sent congratulatory letters to those persons with links to the University.	
4. COUNCIL MEETINGS	3.1 Council, Draft Minutes (Part A), 09.12.2024	RESOLVED (Chancellor/ Ms Quinn): that the Minutes (Part A), 09.12.2024 be taken as read

	<p>With regard to item 3. Disclosures of Interest by Members: Council noted that all Council members except the Vice-Chancellor, Professor Tolmie, and Ms Skipper declared a conflict of interest regarding the Council fees in item 4.4.1 in Part B and asked if this could be corrected.</p> <p>With regard to item 4.1 Council Draft Minutes (Part A), 09.10.2024: more specifically regarding the re-appointment of the alumni representative on Council and the application of Section 11 of the Council Appointments Procedures. Professor Tolmie advised Council that she did not believe that the process recorded in the October Minutes complied with Section 11. She suggested redoing the appointment process. Council decided that this matter would be resubmitted to the Vice-Chancellor's Review Committee (VCRC), and further advice would be given to Council at the meeting in April.</p>	and confirmed , subject to the requested amendments.
	3.2 Matters arising from the Minutes (Part A), 09.12.2025 not elsewhere on the agenda	
5. VICE-CHANCELLOR'S REPORT	<p>The Report was taken as read.</p> <p>The Vice-Chancellor, Professor Freshwater, presented this item.</p> <p>She provided the following supplementary information:</p> <ul style="list-style-type: none"> • The Hon Erica Stanford, Minister of Education (including international education) now also held the immigration portfolio. • A meeting took place on campus with the Hon Dr Shane Reti who made the announcement of the Applied Doctoral Scheme. He also advised of his priorities. These included: <ul style="list-style-type: none"> ➢ Participation in higher education across the board; ➢ Retention and completion of students in higher education; ➢ Commercialisation; and ➢ The University's engagement with industry and business. • Following a meeting with the TEC in the previous week it was clear that the emphasis was on STEM disciplines and consideration of the University's differentiated discipline mix was emerging. • It was great to see the students back after the break which created a lively environment on Campus, especially around Hiwa, the University's new recreation centre. <p>In the subsequent discussion, Council noted the following:</p> <ul style="list-style-type: none"> • <i>Cultural Diagnostics</i> mentioned on p.9 of the Report was part of a piece of work undertaken by the Director of Human Resources, Mr Phipps. An 	RESOLVED (Chancellor/ Mr Paitai) that the Vice-Chancellor's Report be noted .

	<p>organisational culture plan was being developed in the context of the future workforce.</p> <ul style="list-style-type: none"> • <i>Engagement and Listening Strategy</i> on p. 9 of the Report referred to the staff surveys. Prior to Covid, the University held surveys every two years and engaged an external consultant for selecting generalised questions. Currently, more concentrated surveys take place on a more regular basis (3 in 5 years) which improved the quality of the surveys. 	
6. REPORTS OF COUNCIL COMMITTEES	<p>6.1 FINANCE COMMITTEE</p> <p>6.1.1 Minutes, (Part A), 26.02.2025</p>	RESOLVED (Chancellor/Mr McDonald): that the Finance Committee Minutes (Part A) 26.02.2025 be received .
	<p>6.2 AUDIT AND RISK COMMITTEE</p> <p>6.2.1 Minutes, (Part A), 03.03.2025</p>	RESOLVED (Chancellor/Mr Mason): that the Audit and Risk Committee Minutes (Part A) 03.03.2025 be received .
	<p>6.3 CAPITAL EXPENDITURE COMMITTEE</p> <p>6.3.1 Minutes (Part A), 25.02.2025</p>	RESOLVED (Chancellor/Ms Skipper): that the Capital Expenditure Committee Minutes (Part A) 25.02.2025 be received .
	<p>6.4 STUDENT APPEALS COMMITTEE</p> <p>6.4.1 2024 Report to Council</p>	RESOLVED (Chancellor/Mr Pитай): that the 2024 Student Appeals Committee Report –be received
7. SENATE MATTERS	<p>7.1 REPORT OF SENATE MEETING 03.03.2025</p> <p>Part A1: Policy and other matters requiring to be considered/received by Council</p> <p>Part A2: No matters requiring Council approval</p> <p>Part B, 1-2: Items to note by Council</p> <p>Part C, 1-5: Matters handled under Delegated Authority</p> <p>This item was introduced by the Vice-Chancellor.</p> <p>She commented the following: With regard to the Consideration of Future Faculty Arrangements recommendations, an extraordinary Council meeting would be organised in</p>	RESOLVED (Chancellor/Ms Kinser): that the recommendations in Part A of the Report of Senate, 03.03.2025 be adopted and Parts B and C be noted

	<p>the near future, provided a suitable date could be found for all Council members. This meeting would be open to the public.</p> <p>The Draft 2025 Curriculum Framework Transformation (CFT) Review (SSFR) Recommendation Report was a progress report. Further work was being undertaken, and a further report would be submitted to Senate and Council at their April meetings.</p> <p>The Acting Deputy Vice-Chancellor Education (DVCE), Professor Holdaway, also spoke to this item. Prior to the Senate meeting he had met with all faculties to discuss the six recommendations of the Report. After these meetings further feedback had been received from the faculties and at the Senate meeting of 03.03.2025.</p> <p>Since then, the Review Group reconvened to consider the additional feedback. A series of suggestions would be formulated for submission to Senate in April. There would be recommendation regarding WTD, TD and Flexi choice.</p> <p>He drew Council's attention to the misinformation in the media which was quite disturbing. This included misinformation about the WTR courses which fulfilled an important need for new students at the University.</p> <p>A WTR course was piloted in the Faculty of Science last year which had positive results for the students who greatly enjoyed it. WTR courses introduced students to the University and provided basic knowledge about Te Tiriti, and Te Ao Māori which was a requirement in many professional degrees.</p> <p>The WTR courses were designed as foundational for undergraduate students and expected to be taken in the first year of study. In effect, these courses replaced half of the previous General Education requirements.</p>	
<p>8. CORRESPONDENCE REFERRED BY THE CHANCELLOR</p>	<p>The Chancellor commented that all correspondence that she had received with respect to the proposed future faculty arrangements and the combination of the Faculties of Business & Economics and Law would be made available to the Council members in the resource centre on Diligent and that all Council members were welcome to provide correspondence they had received for inclusion.</p>	
<p>9. OTHER MATTERS FOR DECISION OR NOTING</p>	<p>9.1 SEAL</p> <p>Since the Council meeting on 09.12.2024 the seal has been applied to the following document in accordance with the Council resolution of 18.02.1991:</p> <ul style="list-style-type: none"> • Deed of Novation & Variation, information Sharing Agreement for the Growing up in New Zealand study, Auckland UniServices Ltd, University of Auckland & the Ministry of Education. 	<p>RESOLVED (Chancellor/Ms Arnott-Neenee): that the affixing of the seal to the listed document be noted.</p>

	<p>9.2 PROGRAMME LIMITATIONS</p> <p>9.2.1 Memorandum, 05.12.2024 from the Provost regarding the 2025 TFC Programme Limitations approval using the Provost's sub-delegation powers</p> <p>9.2.2 Memorandum, 20.12.2024 from the Provost regarding the 2025 MEPM Programme Limitations approval using the Provost's sub-delegation powers</p>	<p>RESOLVED (Chancellor/Vice-Chancellor): that Council note the use of the Provost's sub-delegation powers to approve the update to the 2025 TFC and MEPM Programme Limitations.</p>
	<p>9.3 MEMORANDUM OF UNDERSTANDING BETWEEN THE UNIVERSITY OF AUCKLAND AND THE FOUNDATIONS</p> <p>9.3.1 Memorandum, 17.03.2025 from the Deputy Vice-Chancellor (Corporate Services) and Chief Financial Officer, Mr Tim Bluett</p> <p>9.3.2 MOU between the University of Auckland, the University of Auckland Foundation, and The Medical & Health Sciences Foundation</p>	<p>RESOLVED (Chancellor/Mr Fia): that Council approve the adoption of a refreshed MoU with the University Foundations, and to delegate to the Chancellor and Vice-Chancellor to execute the MoU on behalf of the University.</p>
	<p>9.4 SENATE AND COMMITTEE ELECTIONS STATUTE</p> <p>9.4.1 Memorandum, 07.03.2025 from the Registrar</p> <p>9.4.2 Senate and Committee Elections Statute 2025</p> <p>The Chancellor commented that these changes only affected the elected sub-professorial staff on Senate and were being proposed as a result of the creation of the new Arts and Education Faculty.</p> <p>In the following Discussion, Professor Tolmie asked Council that in the section of the Statute related to the Definition of Senate the following could be retained: <i>"...it includes, all the professors, as well as representatives of sub-professorial staff, professional staff and students."</i></p>	<p>RESOLVED (Chancellor/Professor Tolmie): that Council approve the update of the Senate and Committee Elections Statute, subject to the requested change.</p>
10 ELECTIONS - APPOINTMENTS	None	
11 GENERAL BUSINESS	None	

12 LEAVE OF ABSENCE	(for the meeting of 28.04.2025) Nobody requested leave.
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PUBLIC EXCLUSIONS

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

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

General subject of each matter to be considered:

Item No. 1.1	Council Minutes Part B 09.12.2024
Item No. 2.1.1	Finance Committee – Minutes Part B, 26.02.2025
Item No. 2.1.2	Refinance of Facility A1
Item No. 2.1.3	Financial Performance 2024
Item No. 2.2.1	Audit and Risk Committee Minutes Part B 03.03.2025
Item No. 2.2.2	2024 Annual Report
Item No. 2.3.1	Capital Expenditure Committee Minutes Part B 25.02.2025 and e-meeting 10.03.2025
Item No. 2.3.2	Executive and Financial Summary B230 and CP4
Item No. 2.3.3	Project Business case: B230 Development Programme
Item No. 2.3.4	Project Business Case: Carlaw Park Student Village - Stage 4
Item No. 2.4.1	Honours Committee – Professor Emeritus proposals
Item No. 2.5.1	University of Auckland Human Participants Ethics Committee – Membership
Item No. 4.1.	Sir John Logan Campbell Medical Trust

Reason for passing this resolution in relation to each matter:

The protection of the interests mentioned below.

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

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

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

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

The meeting closed at 6.10pm

The meeting went into Public Excluded session at 5.30pm

Approved as a true and correct record.

Cecilia Tarrant, Chancellor

Date

Vice-Chancellor's Report to Council | 28 April 2025

General

External, Policy and Government Update

Geopolitics and geoeconomics

The political and economic turmoil associated with US Government tariff decisions continues, with the full impact yet to be fully understood. The impact of US higher education and research cutbacks is having an immediate effect. It has resulted in challenges to research funds, directly impacting researchers with US grants and funding arrangements.

Government Science System Advisory Group (SSAG) and Universities Advisory Group (UAG)

The Government's response to the yet-to-be-released UAG report is imminent. A further report from the SSAG is also expected. The University is exploring with the Government and officials the recently announced Public Research Organisation for Advanced Technologies.

Government and Tertiary Education Commission (TEC) signals

We have been advised that funding levels may not be increased or maintained in 2026, with some 2025 funding already reduced. TEC has explicitly called for advice before institutions' EFTs enrolments exceed 102 per cent. TEC's plan advice also directs tertiary education institutions that they "should deliver the skills employers, industries and regions need." Higher education targeted priorities are directed to cover Science, Technology, Engineering and Maths (STEM), Health, Teacher Education, Food and Fibre and Construction and Infrastructure.

Project Auckland and Auckland Tech Council report

The University supported Project Auckland with innovation extensively profiled in the New Zealand Herald Project Auckland feature. The University's Newmarket Innovation Precinct was also highlighted in the Tech Council report.

Internal Update

Senior Leadership Changes

Planning Director Pamela Moss, Director of Organisational Performance and Improvement, Stephen Whiteside and Director of Academic Services Joanna Browne are retiring after several decades of dedicated commitment to the University. We will have the opportunity to thank them for their service, and of course they will stay engaged with the University as part of the transition and recruitment process.

Hikina kia Tutuki, Rise to the Challenge: Global Researchers With Impact

The University celebrated the work and impact of the seven leading researchers recognised in the 2024 Clarivate Highly-cited research rankings for the top one per cent of researchers worldwide and the 289 researchers on the Stanford Elsevier list of the top two per cent of researchers. The number of University of Auckland researchers on the Stanford-Elsevier list increased by 64 from 2023. At the event, six leading researchers presented on their work. They were Professor Chris Bullen, FMHS; Dame Professor Juliet Gerrard, Science; Professor Ngaire Kerse, FMHS; Professor Julian Paton, FMHS; Professor Christine Rubie-Davies, Arts and Education; Dr Ziyun Wang, Science.

Curriculum Transformation Framework (CFT)

This has been rolled out successfully, and a review of the Waipapa Taumata Rau courses, TD, and Flexi-Choice is scheduled for the end of Semester 1 and Semester 2.

1. Education and Student Experience**Semester one start**

During orientation week, 6,000 new students were welcomed on campus, and a week later, "O'Week" saw the biggest-ever Clubs Expo. The University's student accommodation facilities are full, and Hiwa has signed up 12,000 members to date.

Overview

The University began the year with strong enrolments. Overall, EFTS are currently approximately 7 per cent higher than at this time last year and are projected to finish the year nearly 6 per cent above targets. We are observing significant increases in enrolments from domestic and international students across all areas of the University.

Our forecast for domestic enrolments for the full year is nearly 5 per cent higher than our final enrolment levels for 2024 and 4.2 per cent above our target for 2025. We have experienced significant growth in school leavers, with enrolments currently surpassing the end-of-year numbers for 2024. School leavers are 15 per cent above the enrolments at this time last year.

Overall, full-fee International EFTS are forecast to grow by around 13 per cent this year, and nearly 500 EFTS above target. International postgraduate enrolments and EFTS are 29.7 per cent (473 EFTS) above the same time last year and are expected to be around 13 per cent above our budget target. All faculties appear to be benefiting from the increased International postgraduate enrolments.

Māori student enrolments increased compared to 2024. Increased enrolment from Māori has been achieved in the postgraduate segments (up 6 per cent) and in the School Leaver segment (up 14.8 per cent), relative to 2024. Pacific student enrolments are also higher than in 2024, particularly School Leavers (up 26.7 per cent).

Disabled learner enrolments are higher (up 13 per cent overall) relative to the start of 2024 across all segments, undergraduate and postgraduate, as well as domestic and international.

Indicators	Last Year	Current Year			
		To Date (2 April)		End of Year	
	Actual	Target	Actual	Target	Forecast
Total EFTS	36,603	30,565	32,598	37,025	38,748
Domestic Funded	30,008	25,534	26,964	30,192	31,462
International Full Fee	5,699	4,571	4,922	5,977	6,460
% Postgraduate EFTS	25.6%	27.8%	26.9%	27.8%	27.8%

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

EFTS in priority groups

	2024 (2 April)	2025 (2 April)	% Change
Total Māori EFTS	2,085	2,218	6.4%
Māori School leavers	389	446	14.8%
Total Pacific EFTS	2,499	2,660	6.4%
Pacific School leavers	456	577	26.7%
Total Postgraduate	7,824	8,762	12.0%
Domestic	6,154	6,644	8.0%
International	1,595	2,068	29.7%

Progress against priorities

Priority 1: Accessible, equitable lifelong higher education opportunities

The Annual Quality Review rounds are underway with faculties. The Interim Deputy Vice-Chancellor Education-led review provides an opportunity to focus on key issues and challenges for learning and teaching, including priorities for Māori and Pacific students and issues of strategic relevance to the University.

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

Our Tuākana Learning Communities have had a strong start to the year with increased engagement in whanaungatanga events, academic tutorials and workshops.

'Anau Aiga Evening, led by OPVC Pacific in the Fale Pasifika, saw nearly 200 Pacific families and entry-level Pacific scholarship recipients hosted.

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

An Artificial Intelligence Education Advisory Group (AIEAG), chaired by Associate Professor Danping Wang and reporting to the Teaching and Learning Quality Committee, has been established to guide AI's use in Education. The group combines expertise from the University, faculty, and student and service areas with AUSA representation. The group will advise on how to prepare current students to be competent and discerning users of AI. The group will also report on how to employ AI capabilities to enhance the impact and value of the education we deliver to students.

A Generative AI 101, Module 1 has recently been released to support teaching staff developing their AI capabilities. It is an introduction to Generative AI, covering its basics, educational applications, and ethical considerations, including effective prompting techniques and responsible use of AI tools.

The VC-initiated review of three elements of the CFT has led to the establishment of a working group to reconsider how the undergraduate Transdisciplinary (TD) requirement could be met in 2027 by providing a breadth component that builds on the TD discovery work and considers the role of General Education.

2. Research and Innovation

Indicators	Last Year	Current Year			
		February 2025		End of Year	
	Actual	Target	Actual	Target	Forecast
Research revenue (\$M)	281.0	50.6	42.4	284.8	274.1

Note: The revenue includes University of Auckland revenue only.

Overview

The Science System Reform Working Group has been established to coordinate responses to sector reforms across multiple workstreams. A key focus for the Group is the development of a position paper on the Advanced Technology Public Research Organisations (PRO) to outline the vision and potential capability of the University of Auckland. Another priority is the development of a Joint Graduate School (JGS) model in preparation for the formation of the new PROs, to evolve the current JGS programme model between universities and Crown Research Institutes. In addition, an *Overheads Paper and Factsheet* have also been produced in anticipation of the forthcoming UAG report, which is expected to seek feedback on potential funding and overhead models for universities.

Progress against priorities**Priority 1: World-class research inspired by our place in Aotearoa and the Pacific****Priority 2: A global powerhouse of innovation, creativity and entrepreneurship****Priority 3: Relevant, purposeful, impactful research for our communities****Priorities 2 and 4: A global powerhouse of innovation, creativity and entrepreneurship AND Ambitious research confronting humanity's greatest challenges.**

A workshop has been held with key stakeholders to establish a clear strategic direction for enhancing the University of Auckland's innovation and entrepreneurship ecosystem and to refine a set of design principles to guide the development of a future-state ecosystem. This workshop will be followed by an exploration of operating models, drawing insights from both UoA's current federated structure and international best practices.

There has been significant progress in developing the Global Research Engagement Strategy (GRES) since the beginning of the year. Meetings with the PVC Global and Graduate Studies have helped define the process for the development of the strategy, including engagement with key stakeholders. Additionally, ongoing conversations with existing international partners have contributed to a draft Partnership Prioritisation Framework, which will be open for feedback.

There is an increased number of requests for support for strategic initiatives, such as those aligned with U21 and Worldwide Universities Network (WUN) networks. We are exploring targeted co-funded engagements to leverage these networks with global partner institutions to support interaction between respective research communities – including those in Europe: KU Leuven, Lund, Bristol, CNRS (French National Centre for Scientific Research).

Priority 5: Nurturing, recruiting and retaining outstanding research talent.

The TR-PSR pre-screening process went live on 1 January and is progressing smoothly. The research risk team continues to liaise with various teams across the organisation to help implement TR-PSR-related processes, with admissions being of particular interest currently. Maturation of the New Zealand tertiary sector's PSR processes continues, and regular meetings/special interest groups have been established between institutions to share relevant information.

The new Research Integrity Policy and updated Authorship and Publication Guidelines have been published. The Good Research Practice Guidance that underpins the Research Integrity Policy is available on the ResearchHub.

3. Partnerships and Engagement**Overview**

The Vice-Chancellor's participation in two New Zealand business delegations (one to Vietnam and one to India) led by the Prime Minister in February and March reaffirmed the University's position as a key national partner in the government's international engagement agenda.

Priority 1: Strengthen and deepen our relationships with tangata whenua.

The Office of the Pro Vice-Chancellor Māori partnered with the International Office to host a lunch for 20 global indigenous students, primarily from North and South America, who will study at the University in 2025. The office also supported a group of students from Dartmouth to visit Ihumātao and will continue to work proactively with the International office.

Kōtuitanga meetings have been held and in the process of being planned with Ngāti Whātua Ōrākei. Engagements include facility blessings and support for the scholarship event involving the Whare Ariki (House of the Māori Queen, Ngā Wai Hono i te Pō)

The University has launched the Waipapa Ōhanga Rau initiative to familiarise Māori high school students with tertiary study opportunities, supporting their transition from secondary schools, puna reo, and kura kaupapa into the University. More than 70 year 13 students attended the first event.

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

On 26 February, the University signed a MoU with Ho Chi Minh University of Technology (HUTECH), marking a significant milestone in establishing a long-term partnership. This agreement will enable HUTECH students to pursue undergraduate and postgraduate degrees at the University of Auckland, as well as facilitating collaboration on research, teaching, and sustainable development, leveraging our institution's leadership.

On 12 March, the University renewed its Joint PhD Programme Agreement with the Indian Institute of Technology Kharagpur (IITKGP). The programme strengthens the academic relationship between the two institutions by offering students the opportunity to undertake supervised research abroad.

On 21 March 2025, a delegation from Aulin College met with colleagues from the Faculty of Science and the Faculty of Engineering and Design to discuss expanding their existing collaboration. Aulin College is a Chinese Ministry of Education-approved joint institution between the University of Auckland and Northeast Forestry University in China. Since July 2021, 346 students have transferred and enrolled at the University of Auckland through this collaboration. For Semester 2, 2025, 123 students are expected to enrol.

The University's brand strategy aims to build a unified, consistent brand to enable our institution to further its distinctiveness and reputation in New Zealand and overseas. This includes a refined University logo, which was approved by the University Executive Committee on 25 March 2024 after extensive customer and technical testing.

In partnership with the Kohia Centre in the Faculty of Arts and Education, the Study Abroad Team hosted two short courses in February and March: one for 10 students from Gwangju National University of Education in Korea and one for 12 students from Mie University in Japan.

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

Canadian philanthropist John McCall MacBain announced a major gift to endow Kupe Leadership Scholarships at the launch event for the 2025 programme, held on 19 March. The new gift brings the Foundation's support for the scholarships to \$6.5 million and is a significant step toward in securing the programme in perpetuity.

The University hosted its Alumni and Friends Reception in Tauranga on 19 March and was a platinum sponsor for the ASB Polyfest in March 2025.

Priority 5: Diverse student body reflecting our communities.

The International Orientation took place on campus 24-28 February, welcoming new international students to the University.

The Schools and Community Engagement Team has developed messaging for school leavers that includes data on the importance of external assessment for first-year preparedness. With positive feedback from schools and whānau, the team has generated over 3000 leads throughout Term 1 engagements.

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

The University's SDG8 Hub met virtually with colleagues from the University of Gothenburg, the institutional team leader for SDG8 under the International Association of Universities Global Cluster for Higher Education for Sustainable Development, to discuss collaboration on Sustainable Development Goal 8 – Decent Work and Economic Growth.

4. Enabling our People and Culture

Overview

At the start of 2025, several key initiatives that support the University's culture and leadership development have gained momentum. Hono has now completed the final phase of the payroll rollout, with planning for Phase 2 currently underway. The Values-led Culture (VLC) programme remains a central pillar in embedding a values-led approach and supporting broader organisational transformation.

Progress against priorities

Priority 1: Live our values and purpose

The VLC programme continues to advance in line with Taumata Teitei and People and Culture strategic priorities. Delivery is focused on four key workstreams:

1. Leadership Development

The *Pūhoro Senior Leaders Programme* continues to scale, targeting 136 senior leaders, including Associate Deans, Academic Heads, and Professional Services leaders. Four cohorts have completed the programme. Cohorts five through seven are confirmed to commence in Semester 2, 2025. Early feedback from both academic and professional leaders indicates that the programme is breaking down silos and strengthening collaboration.

Values Integration

Values and Te Ao Māori principles continue to be embedded into core systems, policies, and processes.

2. Employee Engagement and Listening

A new employee engagement survey platform has been selected, with a full engagement survey scheduled for August 2025.

3. He Iti Kahurangi

Awareness-building and integration activities are ongoing across leadership groups.

Onboarding Integration

Employee onboarding processes have been embedded into Hono. Integration with Workday is scheduled for completion by mid-2025.

Priority 2: Develop a future-ready workforce**Ngā Taumata Tutukinga – Professional Staff Capability Framework**

Ngā Taumata Tutukinga is a tailored capability framework developed to support the growth and performance of professional staff. It provides a unified language and structure to guide individual development planning, enabling staff to assess their current capabilities, identify growth areas, and align with career aspirations and institutional priorities. The framework's first phase has been completed and endorsed. The project has now entered the implementation planning stage, with a phased rollout scheduled to begin later in 2025.

Researcher Capability Framework

Planning is underway for a dedicated capability framework for researchers, in collaboration with the Research and Innovation portfolio. This initiative will underpin the University's ambition to foster a future-ready research workforce by equipping current and emerging researchers with the tools and skills needed to increase their impact, navigate evolving research environments, and support transdisciplinary and globally relevant research outcomes.

Priority 3: Build a high-performing, diverse, inclusive and equitable community**Priority 4: Activate manaakitanga, whanaungatanga and kaitiakitanga across our People and Culture practices**

Approximately 80 Māori staff and their whānau gathered for a whanaungatanga event hosted by the Office of the PVC Māori.

Priority 5: Aspirational and inclusive leadership

The Office of the PVC Māori hosted two wānanga for Māori staff who, through karanga and whaikōrero uphold the mana of the University ensuring tikanga and kawa are observed at the two University marae. Development needs and opportunities were identified.

5. Our Enabling Environment

Overview

Indicators	Last Year	Current Year			
		February 2025		End of Year	
	Actual	Target	Actual	Target	Forecast
Total revenue (\$M)**	1,539.7	583.9	850.2	1,578.5	1,606.2
Revenue achieved as a % of budget	100.9%	100.0%	145.6%	100.0%	101.8%

** Excludes CIP loan and external sponsorship.

Progress against priorities:

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

The new Curriculum Management System is now populated with most programme and course information, enabling advanced curriculum mapping, improved staff workflow, and the rollout of the Online Curriculum Catalogue. Phase 2 focuses on making information accessible to students.

The Student Experience Centre has launched a new version of the UoA Assistant, now with Generative AI capabilities. It understands a wider variety of questions and provides a faster, more personalised experience for our staff and students.

Three cross-University Special Interest Groups are working to address priority improvement initiatives for Academic Heads:

- Improving access to data for School/Department oversight, reporting and decision-making needs
- Reducing the workload associated with the number of approvals required of Academic Heads
- Developing tailored online resources supporting the annual cycle of key administrative tasks and duties.

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

Work has begun to refresh the University Language plan for the revitalisation of te reo Māori *Te taonga nō tua whakarere, he taonga mō āpōpō*.

The priorities of Te Rautaki Tūāpapa | Estate Strategy 2021-2030 continue to be progressed. Delivery of the approved Property Capital Programme:

- Old Choral Hall: The building is due to reach practical completion late 2025 with final fit-out and occupation to follow.
- The business case for B230 (Law and Performing Arts) was approved at the 17 March Council meeting. Detailed design is now progressing.

Estate Planning activities (Property and Digital)

- Initial staff engagement and technical investigations for the refurbishment of B421 and B423 (Architecture, Urban Design and Planning) are complete. Delivery as a rolling programme is being explored, starting with providing additional teaching and studio space as a priority.
- Master planning for the City and Newmarket Campuses has progressed well. The redevelopment of S300 in the City Campus to provide an engaging Student Hub is noted as a strategic priority.
- A significant legacy storage capability has been decommissioned, with all applications (and application data) transitioned to the new enterprise storage capability.
- Following service disruption to the WiFi service at the start of Semester 1, our network vendor (Cisco) has identified an underlying product defect that has been escalated to the global product teams for remediation. Temporary tactical measures are in place until a permanent corrective solution has been delivered by the vendor.

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

The CNGP (Carbon Neutral Government Programme) Dashboard has been completed and was released publicly by the Ministry for the Environment on 4 April.

The Carbon Inventory Management report for YE 2024 is being collated. Carbon emissions sources data improvements are being explored, including the capture of commuting patterns.

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

The University is working towards a return to a sustainable operating surplus in 2026 by reducing operating expenditure, increasing revenue and contributions from Faculties and Large-Scale Research Institutes and achieving a modest reduction in professional staffing. Recent updates from TEC and Government have advised that funding levels may not be increased or maintained in 2026, and some 2025 funding has already been reduced, which further emphasises the importance of the performance improvement plan and focus on financial resilience. Work is ongoing and includes:

- The 2026 professional staff budgets will, in most functions, be achieved through staff turnover or other initiatives in train. In other areas, function leads and budget holders are considering how best to achieve the required shifts.
- Operating expenditure reduction is being addressed across eleven categories. A senior staff member leads each category. Detailed analysis of each category is underway to identify potential areas for material savings.
- Revenue growth plans are developing for both the sub-doctoral postgraduate segment and international cohort. The final out-turn for enrolments for Semester 1, 2025 will enable a revenue reforecast and will inform these plans.

Dawn Freshwater
Vice-Chancellor

Appendix One: University Gifts and Pledges [January-February 2025]

The following major new gifts and pledges were received by ARD in January and February 2025, totalling \$12,541,997, plus GBP175,300 and USD25,000:

- \$8,300,000 from Flu Lab For the 'Mitigating the Impact of Influenza' study at Medical and Health Sciences
- \$1,016,465 from the Neurological Foundation of New Zealand for 'The Contribution and Mechanisms of Pericytes in Aberrant Extracellular Matrix Deposition and Signalling in Glioblastoma' study, the 'Microglial Regulation of Blood-Brain Barrier Integrity and Astrocyte Function in Alzheimer's Disease' study, the 'Uncovering the mechanisms of immune cell aging in dementia' study, 'The role of peripheral immune cell infiltration after perinatal hypoxic-ischemic brain injury', all at Medical and Health Sciences; and the 'Integrating Systems Bioinformatics and Machine Learning to Identify Clinically Significant Molecular Biomarkers for Multiple Sclerosis Diagnosis' at the Liggins Institute
- \$700,466 from the Auckland Medical Research Foundation for the 'Uncovering binding regions of the Group A Streptococcal pilus adhesin to inform vaccine design' study, the 'Menstrual cycle drug development' study and the 'Pharmacovigilance for NHPs: contributions of the NHPs industry' study, all at Medical and Health Sciences; the 'Exploring molecular effects of huntingtin in the liver and their link to neurotoxicity in Huntington's disease' study at Science; and the 'Impact and safety of next-generation weight loss drugs on maternal and offspring health' study at the Liggins Institute
- \$483,000 from the Vernon Tews Education Trust for the Vernon Tews Trust Pharmacy Fellowship and for the Vernon Tews Trust Pharmacy PhD Scholarship, both at Medical and Health Sciences
- \$400,089 from the Heart Foundation for the Heart Foundation Clinical Research Fellowship and for the A.H Couch Trust Heart Foundation Scholarship, both at Medical and Health Sciences
- \$344,631 from Massachusetts General Hospital for the 'Identification and therapeutic use of G4-processing proteins in XDP' study at Medical and Health Sciences
- \$251,279 from an anonymous donor to support women students of Cook Island descent, across multiple faculties
- \$160,000 from the Cancer Society of New Zealand for the 'Mana enhancing methods to empower cancer screening programmes for Māori' study at Medical and Health Sciences
- \$139,000 from the Estate of (Sir) Ernest Hyam Davis and Estate of Yvonne (Mollie) Aileen Leah Carr for The IDEA project - Old Age Brain Health at Medical and Health Sciences
- \$110,049 from The Angus Family Trust to support the Dementia Research Clinic at Medical and Health Sciences
- \$99,900 from Ember Korowai Takitini for the 'Creating a social media environment that prevents suicide: the next frontier' study and the 'Suffering in silence? Exploring Filipino young people's experiences of disclosing mental health challenges' study, both at Medical and Health Sciences
- \$79,350 from Cancer Research Trust New Zealand for the 'Targeted treatments for brain tumours: Associating specific drug transporter expression in patient tumours with their respective drug carrier molecule' study at Medical and Health Sciences
- \$75,000 from Ian Narev for the Theatre Skills Lectureship at Arts and Education
- \$40,000 from Helen Blake for staffing support for Vision Bus Aotearoa 2025 at Medical and Health Sciences
- \$40,000 from Barbara Blake for staffing support for Vision Bus Aotearoa 2025 at Medical and Health Sciences
- \$40,000 from Goodman Property Services (NZ) Ltd for the Goodman Property Services Scholarship at the Business School
- \$35,182 from Cure Kids for 'Cure Kids Pacific Projects' at Medical and Health Sciences
- \$31,500 from the Beca Group for Beca Scholarships at Engineering
- \$26,086 AGMARDT for the 'Designer inhibitors for methane mitigation' study at Science

- \$25,000 from the Estate of Peter Bryan Weir for support at the Auckland Law School
- GBP148,000 from Eric Tracey for the Eric & Patricia Tracey Fellowship in Infectious Diseases Research at Medical and Health Sciences
- GBP27,300 from Mokaraka Trust for the Centre for Enterprising Women at the Business School
- USD25,000 from Trimble Inc for the Trimble Karahipi Hangarau/Technology Scholarship at Engineering

THE UNIVERSITY OF AUCKLAND

MATERIAL FOR COUNCIL FROM the MEETING OF SENATE 07.04.2025

Minutes of the Senate meeting of 03.03.2025

After the Senate meeting of 03.03.2025, two requests for amendment of the Minutes had been received:

- One was a factual request and related to item 2. Draft 2025 Curriculum Framework Transformation (CFT) Review, p.6 last paragraph, fourth bullet point which related to feedback from faculty deans. It included a comment made by a Senate member and not a dean; the sentence: "It was noted that the 16-page document about the Science WTR course demonstrated that it was scientifically rigorous and pedagogically robust" needed to be removed.
- The other request for amendment of the Minutes related to item 1.a Consideration of Future Faculty Arrangements for Law and Business and Economics and had been sent to the Secretary and not to the Chair. The request comprised a considerable number of changes including verbatim comments and the names of the members who made these.

The Vice-Chancellor reminded the members that all requests related to Senate needed to be addressed to the Chair. She also advised Senate that the Minutes of all meetings provided a summary of those meetings including some explanatory comments; they were never a verbatim record. Names and titles of members who introduced items were included in the Minutes. However, names of members who made comments during discussions were only recorded when necessary and only in extraordinary circumstances. Therefore, the Chair proposed not to make the amendments mentioned in the second request for changes, as the Minutes already provided an accurate summary of the meeting.

The Chair moved that the Minutes of the Senate meeting of 03.03.2025 be confirmed subject to the removal of the sentence noted above under the first bullet point.

Senate then proceeded to a vote:

42 members voted not to confirm the Minutes

40 members voted to confirm the Minutes

27 members abstained from voting

The Motion was lost, and the Minutes remained unconfirmed.

PART A:**1. RECOMMENDATIONS FROM SENATE REQUIRING TO BE CONSIDERED/RECEIVED BY COUNCIL****a) Review of Criminology - Year-on Progress Report**

Senate 07.04.2025 RECOMMENDS to Council that it receive the Review of Criminology Year-on-Progress Report

- b) **Review of the Department of Property – Further Progress Report**
Senate 07.04.2025 RECOMMENDS to Council that it receive the Department of Property Further Progress Report

2. RECOMMENDATIONS FROM SENATE REQUIRING COUNCIL CONSIDERATION/APPROVAL

ACADEMIC MATTERS AND REGULATIONS

1. REGULATION AMENDMENTS

Senate, 07.04.2025 RECOMMENDS that Council approve the following Regulation Amendments:

- a) **Regulation Amendment 2025-900: Academic and General Statutes and Regulations – Bachelor Honours Postgraduate Degrees**
To remove duplicate content from the regulations for Bachelors Honours Postgraduate Degrees.
- b) **Regulation Amendment 2025-901: Closing Dates for Admission**
To update the applications closing dates for International Postgraduate (sub-doctoral) applicants from 4 July 2025 to 8 June 2025 for Semester 2 2025, and from 1 July 2025 to 7 December 2025 for Semester 1 2026.
- c) **Regulation Amendment 2025-902: Academic and General Statutes and Regulations – Degrees and Diploma Statute 1991**
To remove recently withdrawn programmes
- d) **Regulation Amendment 2025-903: Academic and General Statutes and Regulations – Conferment of Academic Qualifications and Academic Dress Statute**
To remove recently withdrawn programmes

2. 2026 Faculty of Medical and Health Sciences Programme Limitations (programmes with 1 July application close date)

Senate, 07.04.2025 RECOMMENDS that Council approve the 2026 Faculty of Medical and Health Sciences Programme Limitations (programmes with 1 July application close date)

PART B: ITEMS FROM SENATE FOR NOTING BY COUNCIL

1. Intellectual Property Created by Staff and Students Policy

- Memorandum, 07.04.2025 from the Deputy Vice-Chancellor (Research and Innovation).
- ATT A Intellectual Property Created by Staff and Students Policy

Senate, 07.04.2025 RECOMMENDS that Council note that the revised *Intellectual Property Created by Staff and Students Policy* included at **ATT A** has now been approved by the Research Committee following extensive consultation with University committees and the wider University community.

PART C: MATTERS RECEIVED AND APPROVED UNDER DELEGATED AUTHORITY**1. 2025 Curriculum Framework Transformation (CFT)**

- **Memorandum, 02.04.2025 from the Vice-Chancellor regarding the CFT resolution**
- **2025 Curriculum Framework Transformation Review – Recommendation Report 02.04.2025**

The Vice-Chancellor advised Senate, that it was time to move away from the term “Curriculum Framework Transformation”. The CFT had provided a framework which had been implemented. In the future it would be appropriate to use the term “Curriculum”. Senate was asked today to consider a few elements of the curriculum.

This item was introduced by the Interim Deputy Vice-Chancellor Education (DVCE), Professor Holdaway.

The recommendations currently submitted to Senate were based on the feedback received through faculty forums and the Senate meeting of 03.03.2025.

Recommendations One and Two referred to Waipapa Taumata Rau (WTR) courses, Recommendations Three and Four related to Transdisciplinary (TD) courses and the Flexi Choice requirement, including setting up a working group, as set out in the Recommendation Report.

The Vice-Chancellor invited the Deans to comment on the summary, included in the papers, of the meetings held in each faculty to consider the draft recommendations.

The Deputy Dean of the Faculty of Engineering and Design commented that it would be beneficial to have people on the panel who were familiar with the requirements of accreditation bodies.

The Dean of the Faculty of Science welcomed the recommendations and advised that further work would be undertaken within the faculty.

The Dean of the Faculty of Medical and Health Sciences advised Senate that the WTR courses were well supported within the faculty. It welcomed the review and emphasised that it would be important to consider the accrediting bodies requirements.

The Dean of the Faculty of Arts and Education advised Senate that together with the central group work had been undertaken on considering the General Education Schedule.

In response to a question from Senate, the Interim DVCE responded that with regard to the 2026 General Education courses, the consideration of timetabling requirements was crucial because of the limited number of certain types of teaching spaces.

The Dean of the Faculty of Business and Economics also underlined the importance of meeting the accreditation requirements of professional bodies.

The Acting Dean of the Faculty of Law reminded Senate that it did not have any WTR course this year. However, together with the Interim DVCE and the Review Group, Law would be considering TD and General Education requirements.

The subsequent discussion was broad-ranging and included the following matters:

- Student feedback on WTR. The President of the AUSA advised this was generally positive. Negative feedback often reflected misinformation spread through the media.
- Review panel composition. There was a question about composition and the potential benefit of both internal and external panel members.

- Review panel scope. It was confirmed that the review panel would be looking at all academic aspects of WTR courses and would consider alignment with the original intent. The common curriculum element and governance of this would also be in scope.
- TD and Flexi Choice; some reflection on the history of the development of these elements.
- TD Working Group; It was clarified that the proposed TD working group would consider the TD courses in their current form in relationship to General Education courses and other parts of degrees that allowed student choice to provide a best mix of these.

Senate, 07.04.2025 advises Council that it:

approved the following CFT Review Group recommendation:

The 2025 evaluation of the Waipapa Taumata Rau undergraduate courses should occur at the end of Semester One 2025 and focus on delivery on the stated aims (including retention); pass and completion rates; review of both the common and faculty specific content; review of the assessment and common learning outcomes; and how the requirement is structured in the degree. The evaluation should be conducted by a panel that is made-up of experts external to the university. The evaluation report will be considered by the Vice-Chancellor and Senate (28 July 2025 meeting), followed by Council at their 27 August 2025 meeting.

noted the following CFT Review Group recommendations:

- Waipapa Taumata Rau course enrolment patterns, progression, and operational matters including timetabling, concessions, and exemptions should also be considered at the end of Semester One and Two 2025.
- The introduction of a 15-point Transdisciplinary requirement and Flexi Choice is deferred until at least 2027. Therefore, the space for General Education will need to continue to be available in undergraduate programmes where it currently exists as a requirement, and the 6 Transdisciplinary Futures courses on offer in 2025 via the General Education schedule continue to be available for 2026 as optional.
- A working group is established to reconsider how the Transdisciplinary requirement could be met in 2027 by providing a breadth component that builds on the Transdisciplinary discovery work and considers the role of General Education. Decisions considered will include but are not limited to widening the current Transdisciplinary criteria, the further curation of General Education courses to meet the University's strategic imperatives, and the embedding of critical thinking. The working group should include Associate Deans Academic and representatives from Student and Academic Services, and CFT; alongside of the Director of Learning and Teaching (Chair). The working group will present an options paper to the CFT's Cross-faculty Experience Working Group who will consider the financial and operational sustainability of the options proposed. A proposal will then be prepared for consideration by the Vice-Chancellor, faculties, and Senate. The aim would be to have a decision made by 01 June 2025.

2. Casual vacancy - Lecturers' Representative on Senate, Faculty of Law

Senate, 07.04.2025 advises Council that it approved the appointment of **Associate Professor Anna Hood** to fill the casual vacancy for a Lecturers' Representative of the Faculty of Law on Senate for a term ending 31.01.28.

3. Change to the APC Terms of Reference– Memorandum, 03.02.2025

Senate, 07.04.2025 advises Council that it approved the change to the APC Terms of Reference

4. CUAP AMENDMENTS

Senate, 07.04.2025 advises Council that the following CUAP Amendment be approved for submission to CUAP:

Arts and Education

2025/200	To introduce a Master of Creative Arts Therapy (MCAT) and a Postgraduate Diploma in Therapeutic Arts
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5. 2029 Proposed Academic dates

Senate, 07.04.2025 advises Council that it approved the 2029 proposed academic dates

6. Senate, 07.04.2025 advises Council that it approved six new and amended scholarship, and award Regulations

1. Edmond Penn Malone Memorial Scholarship in Music
2. Ernest Rutherford Science High Achiever Undergraduate Scholarship
3. Tim Cooper Memorial Scholarship in Software & Computer Systems Engineering
4. Philip Deibert PhD Scholarship in Planning
5. Rewi Thompson Undergraduate Scholarship in Architecture
6. R J Mowat Memorial Award in Earth Sciences



Internal Memorandum

Date: 14.04.2025
To: Council
From: Registrar
CC:
Subject: Senate and Committee Elections Statute - update

8.2

At the Council meeting of 17.03.2025 it was resolved to adopt the updated Senate and Committee Election Statute as recommended, subject to the Definition of Senate being amended by the addition of the following phrase: *"...it includes, all the professors, as well as representatives of sub-professorial staff, professional staff and students."*

Following the meeting, it has been noted that the added phrase is not fully in line with the [membership of Senate](#), which does not include all professors. Only distinguished professors, professors and emeritus professors employed on 0.1 full-time equivalent (FTE) or more are members.

Recommendation: That Council **approve** the section of the Statute related to the Definition of Senate as follows:
Senate is the academic committee established by Council under [section 18\(2\) of Schedule 11](#) to the Education and Training Act 2020; it includes professors, as well as representatives of sub-professorial staff, professional staff and students.

Senate and Committee Elections Statute 2025

Title and Commencement

(1) The **Council** of the **University** makes the following statute pursuant to [section 284 of the Education and Training Act 2020](#). This statute may be cited as the University Senate and Committee Election Statute 2025.

(2) This statute comes into force on 25.03.25.

Application

This statute applies only to elections to fill the following positions:

a. On Senate: 23 Elected Members of the Sub-Professorial Staff:

- Two faculty members of each faculty
- Eleven members at-large.

b. On the following committees of Senate:

1. Academic Programmes Committee

- Three professorial members elected by the professoriate
- Three sub-professorial members elected by the sub-professorial staff

2. Auckland University Press Board

- One professorial member elected by the professoriate
- One sub-professorial staff member elected by the sub-professorial staff

3. Education Committee

- Two professorial members elected by the professoriate
- Two sub-professorial staff elected by sub-professorial staff

4. Board of Graduate studies

- Two professorial members elected by the professoriate
- Two sub-professorial staff elected by sub-professorial staff

5. International Committee

- Two professorial members elected by the professoriate
- Two sub-professorial members elected by sub-professorial staff

6. Libraries and Learning services Committee

- Two professorial members elected by the professoriate
- Two sub-professorial members elected by sub-professorial staff
- Two members of library staff elected by library staff

7. Research Committee

- Two professorial members elected by the professoriate
 - Two sub-professorial members elected by sub-professorial staff
 - Two members of library staff elected by library staff
8. Teaching and Learning Quality Committee
- One professor elected by the professoriate
 - One sub-professorial member elected by the sub-professorial staff

c. On the following Vice-Chancellor's Advisory Committees:

1. Staff Advisory Committee

- Two Professorial Representatives elected by the professoriate
- Two Sub-professorial Representatives elected by sub-professorial staff
- Two Professional Staff elected by professional staff

2. University Academic Staffing Committee

- Two professorial members elected by the professoriate
- Two sub-professorial staff elected by sub-professorial staff

d. On University Honours Committee:

- Two members of Senate elected by Senate

Purpose

This statute governs the election of those members of the Senate, Committees of the Senate, Staff Advisory Committee, University Academic Staffing Committee and University Honours Committee, who are elected in accordance with the terms of reference of those committees.

Contents

- Elections of Lecturers' Representatives on Senate
- Elections of elected members on Committees of Senate, Staff Advisory Committee, University Academic Staffing Committee and University Honours Committee

Statute

Elections of Lecturers' Representatives on Senate

In accordance with the provisions this statute, the following 23 members of Senate will be elected by and from lecturers:

- a) Two lecturers' representatives of each faculty; and
- b) Eleven members elected from and by the lecturers of the University at-large.
- c) In each election eligible lecturers will be eligible to:
 - i. be a candidate; and
 - ii. vote in the election.

d) The names of the Lecturers' Representatives of Faculties and At-large on Senate for the subsequent year will be announced at the first meeting of the Senate after the elections close.

Elections of members of Committees of Senate, Staff Advisory Committee, University Academic Staffing Committee and University Honours Committee

a) Provisions will apply to the elected members on a committee of Senate, on Staff Advisory Committee and on University Academic Staffing Committee which, according to the terms of reference of these committees, are to be held by members of the **professoriate**, of **sub-professorial** staff, **professional** staff and **library** staff according to the committee's terms of reference.

b) Provisions will also apply to two positions on the University Honours Committee which, according to the terms of reference of that committee, are to be held by and from **members of Senate**.

c) Members of the Professoriate are entitled to be candidates and vote in professorial elections.

d) Members of sub-professorial staff are entitled to be candidates and vote in sub-professorial elections.

e) Members of professional staff are entitled to be candidates and vote in professional staff elections.

f) Members of library staff are entitled to be candidates and vote in the elections for Libraries and Learning Services Committee.

g) Members of Senate will be entitled to be a candidates and vote in elections for membership of the University Honours Committee.

h) Elections will be run in accordance with the Elections Procedures.

Definitions

The following definitions apply to this document:

Candidate means a candidate for election to Senate, Committees of Senate, University Honours Committee, Staff Advisory Committee and University Academic Staffing Committee.

Council means the governing body of the University.

Elector means a person eligible to vote under the Senate and Committee Election Statute.

Lecturer includes all persons employed as an associate dean, associate professor, senior lecturer, lecturer, senior tutor, tutor, professional teaching fellow, senior research fellow or research fellow who have been continuously employed as such for a minimum of 12 months, but excluding adjunct staff, at the date specified by the Returning Officer; a lecturer is an elector for the purposes of the Senate and Committee Election Statute.

(University of Auckland Act 1961 states: lecturer means a member of the staff of the University of Auckland who is in terms of his appointment an associate professor, a reader, a senior lecturer, or a lecturer of the University; and includes such other persons and classes of persons as the Council from time to time determines).

Lecturers' representative means a member of the Senate elected from and by the lecturers in accordance with the provisions of this statute.

Registrar means the Registrar of the University as defined in the [University of Auckland Act 1961](#).

Senate is the academic committee established by Council under section s18(2) of Schedule 11 to the Education and Training Act 2020; it includes professors, as well as representatives of sub-professorial staff, professional staff and students.

~~**Senate** is the academic committee established by Council under section s18(2) of Schedule 11 to the Education and Training Act 2020.~~

Statement means a candidate's supporting statement for a specified election which must be made in accordance with the Election Procedures.

University means the University of Auckland.

University publications may be in hard copy or electronic form and includes magazines, newsletters and websites which may be used by the University from time to time.

Vice-Chancellor is the person currently holding office as the Chief Executive Officer of the University; and includes any person

- a. acting temporarily in that capacity; or
- b. acting under the delegated authority of the Vice-Chancellor

Key relevant documents

This includes the following:

- [Education and Training Act 2020](#)
- [University of Auckland Act 1961](#)
- Senate Standing Orders
- Terms of Reference of [Senate](#), [Academic Programmes Committee](#), [Auckland University Press Board](#), [Education Committee](#), [Board of Graduate Studies](#), [International Committee](#), [Libraries and Learning Services](#)

[Committee, Research Committee, Teaching and Learning Quality Committee, Staff Advisory Committee, University Academic Staffing Committee and University Honours Committee](#)

Document management and control

Owner: Vice-Chancellor

Content manager: Registrar

Approved by: Council

Date approved: 11 March 2019

Date last reviewed or amended: 26 February 2025

Next review date: 25 February 2030



Internal Memorandum

To	Council
From	Frank Bloomfield, Deputy Vice-Chancellor (Research and Innovation)
Date	28 April 2025
Subject	Approval of the Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)

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1. Background

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

1. University of Auckland Human Participants Ethics Committee (UAHPEC)
2. Auckland Health Research Ethics Committee (AHREC).

AHREC reviews health research, health-related research and clinical research that is not eligible for review by HDEC and is conducted by staff and students of the University and staff of the Health New Zealand | Te Whatu Ora (Health New Zealand) Northern Region Districts. UAHPEC reviews research involving human participants that is conducted by the University's staff and students and is not eligible for review by HDEC or AHREC.

A Research Ethics Improvement Plan was launched in March 2024 in response to pain points identified with UAHPEC and AHREC processes in the Service Effectiveness Survey and previous Researcher Journey Mapping. Following extensive engagement with the University's research community, a series of recommendations were endorsed by the Research and Innovation Steering Committee in December 2024, including:

1. Putting in place a refreshed Letter of Agreement (LOA) with Health New Zealand | Te Whatu Ora to clarify the governance and support arrangements for AHREC
2. Improving ethical guidance for researchers by splitting the current Council-approved *Guiding Principles for Conducting Research with Human Participants* (Guiding Principles) into two separate refreshed documents:

- a. Standard Operating Procedures (SOPs) for IECs,
- b. University Ethical Guidance.

The LOA with Health New Zealand is in the process of being executed, and is included at **ATT A**. The new SOPs for IECs have been drafted for Council approval and are included at **ATT B**. These SOPs have been developed following extensive consultation with the AHREC Governance Board, the University's Human Health Research Governance Group (HHRGG), the Health New Zealand National Research Office and the Chairs of AHREC and UAHPEC. The new University Ethical Guidance is currently being drafted and is scheduled to be approved by the Deputy Vice-Chancellor (Research and Innovation) in June 2025 prior to submission to the HRC EC as part of the triennial accreditation process for hosted IECs.

Recommendation

It is recommended that the Council adopt the following resolutions:

Approval of the Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)

Council APPROVE the SOPs for IECs, which include the following improvements from the current Guiding Principles:

- Updated references to national and international ethical standards and University policy requirements, including the Research Integrity Policy approved by the Vice-Chancellor in early 2025.
- Changes to the Terms of Reference for AHREC and UAHPEC (Section 6) to ensure consistency with the HRC EC Guidelines for Approval of Ethics Committees. This includes a shift to an 'expertise and experience' focus rather than faculty-based affiliations. There will be a progressive transition to the new membership as members' two-year terms come to an end.
- Updates to the duties and expectations of Chairs, Members and Faculty Ethics Advisers.
- Clarity on the approach to ethical risk, with clearer definitions of 'low risk' and 'more than low-risk', noting that this is a key area where researchers are seeking more clarity.
- Clarity on different application types and pathways, including low-risk pathways and coursework applications.
- Providing additional delegations from the IECs to the Head of Research Ethics for minor amendments to already-approved applications.
- Clarifying the approval process for IEC governance documents, with only the IEC SOPs to require approval by University Council.

Approval of the updated Terms of Reference for AHREC and UAHPEC

Council APPROVE the changes to the Terms of Reference for AHREC and UAHPEC effective 28 April 2025 and NOTE that these

will be published to the University website once approved.

Attachments

ATT A – Letter of Agreement (LOA) with Health New Zealand | Te Whatu Ora

ATT B – Standard Operating Procedures (SOPs) for Institutional Ethics Committees (IECs)



[date]

Health New Zealand | Te Whatu Ora
133 Molesworth Street
Thorndon
Wellington 6011
New Zealand

Attention: Robyn Whittaker, Director Evidence, Research & Clinical Trials

Dear Robyn,

Letter of Agreement relating to the governance structure and function of the Auckland Health Research Ethics Governance Board (the Board) and joint models for supporting the Auckland Health Research Ethics Committee (AHREC) membership and applications

This Letter of Agreement (LOA) summarises the agreed terms of a non-binding relationship between the University of Auckland and Health New Zealand | Te Whatu Ora (Northern Region) in relation to the structure and function of the Board and joint models for supporting the AHREC membership and applications.

A. Parties

This LOA is between:

1. The **University of Auckland (UoA)**, a university constituted under the University of Auckland Act 1961 and a tertiary education provider under the Education and Training Act 2020, of 22 Princes Street, Auckland, New Zealand; and
2. **Health New Zealand | Te Whatu Ora** (Health New Zealand), a Crown agent established by section 11 of the Pae Ora (Healthy Futures) Act 2022, with New Zealand Business Number 9429050678402, acting in respect of the Northern Region.

B. Background

AHREC provides ethical oversight and approval of human health and health-adjacent research which is not eligible for review by a Health and Disability Ethics Committee



(HDEC), and which is conducted by staff members of Health New Zealand or staff or students of UoA. AHREC's operations are carried out by a committee, in accordance with the AHREC manual (to be renamed 'Committee Governance Standard Operating Procedures (SOPs) in 2025) and with operational support from both parties. AHREC is overseen by the Board.

Following the public health sector re-structure and establishment of Health New Zealand in July 2022, a working group (comprising Health New Zealand and UoA representatives) was established to consider and respond to the changes (including considering the impact on AHREC and to update the AHREC review eligibility criteria and application documents accordingly).

Following approval of the working group recommendations by the Board (and confirmation from the Chief Medical Officer at Te Tai Tokerau), AHREC obtained approval from the Health Research Council Ethics Committee (HRC EC) to expand its eligibility criteria to include review of applications from employees of all four of the Health New Zealand Northern Region Districts: Te Toka Tumai Auckland (previously Auckland District Health Board); Counties Manukau (previously Counties Manukau District Health Board); Waitematā (previously Waitematā District Health Board), and Te Tai Tokerau (previously Northland District Health Board).

At the time of that review, the support provided by the UoA Ethics Team (Ethics Team) and the Health New Zealand Research Offices was not revised, nor was the governance model for the Board.

This Letter of Agreement aims to:

- clarify the obligations of each of the parties to support the operations of AHREC; and
- ensure a clear governance framework for the Board.

C. Agreed terms

Membership: The Board shall consist of the following members:

- Two UoA members appointed by the Dean of Faculty of Medical and Health Science ("FMHS");
- Two Health New Zealand members appointed by Health New Zealand Director of Evidence, Research and Clinical Trials (or any replacement role within Health New Zealand);
- A member of mana whenua, who will be a person with expertise in Mātauranga Māori and have research experience, appointed by the Deputy Vice-Chancellor



(Research and Innovation) at UoA on the recommendation of the Pro Vice-Chancellor Māori.

The Chair of the Board shall be nominated by the Dean of FMHS and, without limiting the Dean's discretion, ordinarily shall be the Deputy Dean of FMHS. To avoid doubt, the Chair will be one of the five sitting members appointed pursuant to the above paragraph (and is not an additional appointee).

A Deputy Chair shall be appointed by the Board at the beginning of each calendar year and shall be selected from the sitting members. If necessary, a majority vote shall be taken to select the Deputy Chair.

Other members may be appointed by special resolution¹ of the Board from time-to-time to ensure relevant expertise.

Membership Term:

Members are appointed for three years and may be re-appointed for up to one subsequent term. The maximum appointment period is six consecutive years.

The Chair shall be appointed for three years. Appointments may be renewed, but no Chair shall serve more than two consecutive terms (six years).

Notwithstanding the term limits specified above, Health New Zealand and the University can, by mutual agreement, extend to term of a Member or the Chair beyond six years if it is deemed that the effectiveness of the Board would otherwise be compromised.

Functions:

The functions of the Board are as follows:

1. To review AHREC annual reports, which shall be approved by the UoA Deputy Vice Chancellor (Research and Innovation). These reports are to be prepared by the Head of Research Ethics in a timely manner².
2. To consider any urgent areas of non-compliance and/or adverse events reported to it by the Head of Research Ethics or Health New Zealand Research (National Office) in relation to AHREC-approved research, and to review and endorse any suggested actions proposed by the Head of Research Ethics or Health New Zealand Research (National Office) to address these issues. Note: non-compliance and adverse events are included in the annual reports.

¹ Special resolution means an agreement by consensus of all members.

² Head of Research Ethics means the head of the University of Auckland Ethics Team.



3. Promote and champion the importance of ethical research within UoA and Health New Zealand.
4. Contribute to the development of accreditation documents required by HRC EC. Such documents will be prepared by the Head of Research Ethics with support from Health New Zealand Research (National Office) (Note: reapproval/re-accreditation is required every three years).
5. Provide all necessary inputs for AHREC documents as set out in the appendix to this LOA (Document Management Table).
6. Lead discussions, if necessary, with Health New Zealand Research (National Office) to ensure that AHREC has committee members representing the four Districts within Health New Zealand's Northern Region in proportion to number of applications received from each District (as set out in HRC EC accreditation documents).
7. Lead discussions within UoA to ensure AHREC membership has the required level of expertise (as set out in HRC EC accreditation documents).
8. If requested, support the UoA Deputy Vice-Chancellor (Research & Innovation) in making decisions regarding appointment of lay and non-lay members to AHREC (where proposed by either party to the UoA Deputy Vice-Chancellor (Research & Innovation)).
9. Work with Health New Zealand and UoA with a view to ensuring that each of Health New Zealand and UoA uphold the terms of this LOA and support AHREC through resourcing the following internal operational supports (for each party, within their respective organisation):
 - Establishing and maintaining their own ethical advisory process to support their clinical staff and/or academics seeking to submit applications to HDEC or AHREC
 - Where possible, support for applicants for IT issues that may arise during the ethics application process (this may include user issues)
 - Where possible, support for Ethics Review Manager (Ethics RM) operational issues within their respective organisations
 - Support for education materials relating to compliance with internal organisational requirements associated with ethics applications and ethics pathway queries.

For the avoidance of doubt the matters described in the above bullet points remain the responsibility of each party.

Te Tiriti O Waitangi:



The Board shall ensure it honours Te Tiriti O Waitangi by applying, where relevant, Te Ara Tika Guidelines for Māori Research Ethics (as updated from time) as well as other national and institutional policies and guidelines that are incorporated into the Committee Governance SOPs.

Secretariat Support:

Secretariat support to the Board will be provided by the UoA Ethics Team coordinated by the Head of Research Ethics. Support shall include:

- Scheduling meetings
- Setting agenda in liaison with the Chair of the Board
- Maintaining accurate and timely minutes of meetings
- Ensuring all minutes outline the reports discussed and include clear descriptions of any decisions or recommendations made
- Circulating minutes to the Human Health Research Governance Group
- Calling urgent meetings, after consultation with the Chair of the Board, where necessary to support efficient functioning of AHREC. By way of example only, such situations may include reviewing urgent content relating to HRC accreditation.

Meetings:

Regular Board meetings shall be held four times per year (quarterly). Dates and location of meetings are to be set by the Board at the beginning of the calendar year. Additional meetings may be held throughout the year to support the work of AHREC as required (and such additional meetings shall be called by the Chair, where the Chair considers it appropriate following discussion with the Head of Research Ethics).

For each Board meeting, the Board Chair shall ensure that an agenda is prepared and circulated to all Board members five working days prior to the meeting (unless the meeting is an additional meeting which is called on an urgent basis). The Board may meet face-to-face or virtually.

A quorum shall consist of three members (including the Chair or Acting Chair) and shall require representation from at least one member appointed by UoA and one member appointed by Health New Zealand. The Board will endeavour to make decisions by consensus, but where consensus is not achieved at a meeting then a resolution may be passed by a majority of Board members who are in attendance and voting on the matter in question (except in circumstances where this LOA requires a special resolution). Each Board member has one vote and the Chair does not have a casting vote.



The Secretariat shall maintain a register of interests relevant to the Board's business and shall provide policy and administrative support to the Board.

The Board may regulate its own procedure, provided that it complies with the terms of reference set out in this LOA.

Duties and Responsibilities of Board Member / Expected conduct at meetings:

The expectations set out in this LOA shall be incorporated into the Committee Governance SOP for the human ethics committees which will be submitted to the UoA Council for approval.

Members are expected to work in the best interests of AHREC and to demonstrate appropriate conduct and behaviour to enable the functioning of the Board and compliance with the UoA Code of Conduct. This requirement is not intended to undermine or place any restrictions on any Board member's individual obligations to act in the best interests of their employer under the terms and conditions of their employment agreement.

Any disagreements between Board members, or between the Board and representatives of either party, which cannot be satisfactorily resolved within a reasonable time shall first be raised with the Chair who will contact relevant staff within UoA, and/or Health New Zealand through the Health New Zealand Research Director and will attempt to work with all relevant personnel to resolve the matter.

The Board operates in an open and ethical manner and members are expected to be diligent, prepared, participatory and respectful of differences of opinion.

Chair's responsibilities:

The Chair will ensure all members are given the opportunity to be heard, promote fair and full participation of all members, and regularly monitor the performance of the Board.

If neither the Chair nor Deputy Chair are present at a Board meeting, the Board members present shall select an Acting Chair at the beginning of the meeting, so long as quorum is met.

Disclosure of Interests:

Members should perform their functions in good faith and act impartially. Conflicts of interest shall be raised as a standing item of each meeting and disclosed and recorded in the minutes. The Chair will determine how a declared conflict is managed. Where the



conflict of interest involves the Chair or the Chair is absent, the declared conflict will be managed by the Deputy Chair or Acting Chair.

Media:

No statements should be provided to the media in relation to matters discussed in the Board meetings and any enquiries from media shall be directed to the Head of Research Ethics who will direct the enquiry through the appropriate channels at UoA and/or Health New Zealand.

Official Information Act Requests:

Official Information Act (OIA) requests may be received from time-to-time and will be directed to the Head of Research Ethics who will liaise with the approved channels at UoA and Health New Zealand.

Note: all minutes, agendas and written communications may be subject to OIA requests.

Member Confidentiality:

Members of the Board must respect the confidentiality of the information disclosed. Any adverse events or non-compliance reported to the Board is to be kept in confidence and individual names, dates, and identifying information about the research shall not be disclosed (unless disclosure is required by law, and in the case of OIA requests, is managed in accordance with the process set out above).

Remuneration and expenses:

Members employed by UoA and Health New Zealand shall not be entitled to be reimbursed except for actual pre-approved expenses which shall be submitted to the Head of Research Ethics for approval. Where a member of the Board is a lay member, they will receive an attendance fee calculated on the basis of each meeting attended. The attendance fee is approved annually by the University Council and is regulated by the Ministry of Education (Tertiary Education Commission).

D. General provisions

The parties agree that:

- the terms set out in this LOA take effect from the date it is signed by both parties and will remain in effect until terminated. This LOA may be terminated by agreement between the parties, or by either party on at least six months' written notice to the other party;



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- they are independent legal entities, and nothing in this LOA shall (or be deemed to) create any legal partnership, joint venture, agency or employment relationship between them, or make either party responsible for the liabilities of the other party;
- no amendment to this LOA will be effective unless it is in writing and signed by the parties;
- if there is any conflict or inconsistency between this LOA and the Committee Governance SOP, this LOA takes priority to the extent of the inconsistency; and
- this LOA may be executed in any number of counterparts (including any facsimile or scanned PDF counterpart), each of which shall be deemed to be an original, but all of which together shall constitute the same instrument. No counterpart shall be effective until each party has executed at least one counterpart.

Please indicate your agreement with these arrangements by signing this letter and returning it to the UoA Deputy Vice-Chancellor (Research and Innovation).

SIGNED for and on behalf of the
UNIVERSITY OF AUCKLAND:

SIGNED for and on behalf of
**HEALTH NEW ZEALAND | TE
WHATU ORA** by:

Signature of Authorised Signatory

Signature of Authorised Signatory

Name of Authorised Signatory

Name of Authorised Signatory

Title of Authorised Signatory

Title of Authorised Signatory

Date (use format DD/MM/YYYY)

Date (use format DD/MM/YYYY)



Appendix

Documents Management Table

Document	Document Owner	Approved By	Consulted	Responsible
Ethical Guidelines	DVC (R & I)	UoA: DVC (R & I) External: HRC (for changes requiring HRC EC approval)	Board Human Health Research Governance Committee (HHRGC) Māori Research Governance Group (MRGG)	Head of Research Ethics
Standard Operating Procedures for Institutional Ethics Committees	DVC (R & I)	UoA Council (on the recommendation of the DVC (R & I))	Board HHRGC	Head of Research Ethics
Annual Reports to UoA Council	DVC (R & I)	UoA Council (on the recommendation of the DVC (R & I)) DVC (R & I)	Board	Head of Research Ethics
HRC annual reports and Accreditation (3 yearly)	DVC (R & I)	DVC (R & I)	Board	Head of Research Ethics

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University of Auckland | Waipapa Taumata Rau

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

Draft v1.0

28 April 2025

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1. INTRODUCTION

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

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

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

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

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

2. SCOPE OF THIS DOCUMENT

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

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

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

3. APPROVAL BY COUNCIL

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

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

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

4. ETHICAL STANDARDS

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

The University's *Ethical Guidance* has been intentionally separated from these SOPs to enable frequent updates to the *Ethical Guidance* in response to new and emerging research methods and technologies.

Declaration of Helsinki

The World Medical Association has developed the Declaration of Helsinki as a statement of ethical principles for medical research involving human participants, including research involving identifiable human material or data. The Declaration of Helsinki was first adopted in 1964 and most recently updated in 2024. All members of AHREC are expected to be familiar with and be able to apply the Declaration of Helsinki ethical principles in their review processes. As the Declaration of Helsinki is specific to the medical research context, members of UAHPEC are encouraged, but not required, to familiarise themselves with the ethical principles set out in the Declaration of Helsinki.

National Ethical Standards

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

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

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

All members of AHREC are expected to be familiar with and be able to apply the National Ethical Standards in their review processes. As the National Ethical Standards are specific to the health and disability research and quality improvement contexts, members of UAHPEC are

encouraged, but not required, to familiarise themselves with the ethical principles set out in the National Ethical Standards.

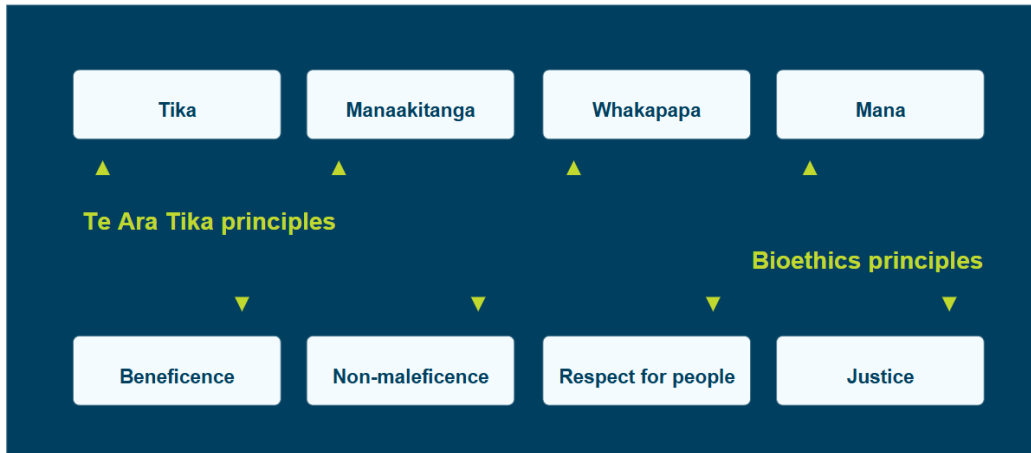


Figure 1 - Partnership of Te Ara Tika principles and bioethics principles. Source: National Ethical Standards (2019)

HRC Research Ethics Guidelines

The HRC Research Ethics Guidelines (2021) provide a list of ethical principles that should be used by IECs to review ethics applications in the areas of:

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

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

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

Professional Codes

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

5. INTERNAL POLICY REQUIREMENTS

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

Code of Conduct

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

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

Ethics Review of Research Involving Human Participants Policy

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

Research Integrity Policy

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

Legislative Compliance Policy and Procedures

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

6. IEC TERMS OF REFERENCE

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

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

UAHPEC

The Terms of Reference for UAHPEC and its subcommittees are:

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

The functions of UAHPEC include:

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

Membership of each UAHPEC subcommittee shall include:

- One lay Chair (Lay)
- One non-lay Deputy Chair (Institutional)
- One nominee of the Pro Vice-Chancellor (Māori) (Institutional / Lay)
- One nominee of the Pro Vice-Chancellor (Pacific) (Institutional / Lay)
- One member with expertise in the area of moral philosophy (Institutional/Lay)
- One member with legal expertise (Institutional/Lay)
- One student representative nominated by Auckland University Students' Association (AUSA) Executive Committee and/or Postgraduate Students' Association (PGSA) (Lay)

- Additional lay and non-lay members approved by the Deputy Vice-Chancellor (Research and Innovation) to address the composition and experience requirements set out in the IEC SOPs (Institutional / Lay).

Relevant definitions are:

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

AHREC

The Terms of Reference for AHREC are:

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

The functions of AHREC include:

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

Membership of AHREC shall include:

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

Relevant definitions are:

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

7. IEC MEMBERSHIP REQUIREMENTS

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

General principles

AHREC and UAHPEC members shall:

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

Lay Chair requirements

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

A layperson³ is a person who:

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

Composition of IECs

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

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

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

In situations where it is not possible to comply with the exact composition requirements set out in Section 4.2(c) of the HRC Approval Guidelines, the University will prioritise memberships in the order of priority required by the HRC EC, which is Māori, gender, lay versus non-lay and then other cultural considerations.

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

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

Recruitment and appointment of members

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

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

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

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

Term of membership

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

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

Conduct

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

Conflicts of Interest

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

Confidentiality

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

Training

The University's Ethics Team is responsible for providing ethics training to new and existing IEC members. IEC members are expected to attend at least 80% of the scheduled training sessions. If an IEC member is absent for more than half of the scheduled training sessions without justification, their membership may be terminated.

Attendance and Leave

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

Payment/Reimbursement

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

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

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

8. IEC CHAIRS AND DEPUTY CHAIRS

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

The responsibilities of the Chairs and Deputy Chairs are to:

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

Recruitment and appointment of Chairs and Deputy Chairs

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

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

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

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

Term requirements

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

Attendance and Leave

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

Unavailability of Chair

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

Unavailability of Deputy Chair

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

Payment/Reimbursement

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

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

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

Principal Chair

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

The responsibilities of the Principal Chair are to:

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

9. IEC MEETINGS

Meeting frequency

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

The agenda closes two weeks prior to a meeting to allow for compliance-checking of the initial application, for initial revisions to be made as a result of this check, and for a preliminary review of the application by IEC members prior to the meeting. Applications received after the deadline are included in the agenda for the following meeting.

Additional meetings may be added to the standard yearly schedule to accommodate and account for a high number of applications. These ad hoc meetings are subject to annual resourcing allocations.

Mode of attendance

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

Minutes

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

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

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

Quorum

A quorum consists of no fewer than half the members of each IEC's membership (including the Chair or acting Chair). For UAHPEC, this means no fewer than half the members for each sub-committee.

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

Decision-making process

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

Consultation outside the IECs

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

8.3**10. APPROACH TO RISK**

IECs shall apply a level of ethical oversight that is proportionate to the risks involved.

Risk in this context can be understood as a function of the magnitude of a harm and the probability that it will occur. Section 8 of the National Ethics Standards lists the following types of harms that should be considered when assessing and categorising risks:

- Physical harm
- Psychological harm
- Disrespect or harm to dignity
- Social or cultural harm
- Privacy harm
- Economic harm
- Legal harm
- Data harm
- Autonomy harm.

Low-risk applications

The National Ethical Standards use the term 'negligible risk' to describe research where the only foreseeable risk is one of inconvenience and/or discomfort. 'Minimal risk' is described as research in which the probability and magnitude of harms in research are not greater than the probability and magnitude of harms ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

These SOPs use the term 'low-risk' to describe research that would be classified as either negligible risk or minimal risk under the National Ethical Standards.

More than low-risk applications

The term 'more than low-risk' is used to describe research that would be classified as either 'more than minimal risk' or 'significantly greater than minimal risk' under the National Ethical Standards.

The interpretation and definition of the terms 'low risk' and 'more than low risk' in different research contexts are further detailed in the University Ethical Guidelines document.

11. APPLICATION TYPES AND PATHWAYS

Application types

AHREC and UAHPEC shall accept two types of applications:

1. Individual applications
2. Coursework applications

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

Individual applications

Individual applications shall be required for:

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

Coursework applications

Coursework applications may be accepted for:

- small student research projects (less than 90 points credit) that are low-risk
- low-risk course-based student research.

Small student research projects that are part of a group coursework application must have a common set of research questions and procedures, or a specified range of research questions and procedures within which students may choose their project. Student projects outside the specified choices, or which raise substantive ethical concerns (such as using child or vulnerable participants or presenting a more than low-risk to participants), must be submitted for ethics approval as an individual research application.

Application pathways

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

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

Expedited review

Expedited reviews are reserved for low-risk applications.

An initial determination of the risk level is made by the Ethics Team based on the application form responses and the criteria set out in these SOPs. Applications that meet the low-risk criteria are assigned for review by two IEC members, including the Chair.

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

Full review

Any research not qualifying for an expedited review is put on the next applicable IEC agenda for full review. Each application will be reviewed independently by two IEC member reviewers prior to the meeting and then reviewed by the full IEC during the meeting.

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

Out-of-cycle review

In exceptional circumstances, applications may be reviewed outside the scheduled IEC meetings if accepted by the IEC Chair. Requests for an out of cycle review must be made in writing by the applicant to the IEC Chair via the University's Ethics Team. An application accepted by the Chair for an out of cycle review will be reviewed by four committee members, including the Chair. Decisions will be ratified at the following IEC meeting.

12. AMENDMENTS

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

Minor amendments

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

These minor amendments can include:

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

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

Major amendment

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

These major amendments can include:

- Substantial change to the methodology and research design
- Significant changes to the research team
- Addition of new participant cohort
- Addition of use of new datasets from databanks/biobanks
- Change to research locality (overseas and domestic).

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

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

13. IEC DECISIONS

This section details the types of decisions that an IEC may reach in response to a new application or amendment.

[Approved](#)

The ethics application is approved, and the proposed research can proceed. Ethics approval is normally granted for three years.

In some circumstances, applications may be approved in stages. For examples, if an application has more than two stages or phases, the IEC may decide to approve the first stage/phase and request the applicant submit a new application(s) for the other stage(s)

[Approved with comment](#)

The IEC has given ethics approval and has made some comments that do not necessarily require changes to be made to the application. The IEC may also include standard conditions and minor conditions that must be addressed prior to the commencement of the research, but do not require further IEC consideration.

In accordance with its Terms of Reference, the IEC reserves the right to conduct audits of approved projects to ensure that the research has been carried out in accordance with any minor conditions and major conditions that were included with the approval. Instances of non-compliance may be referred to the University's Research Integrity Officer to be managed in accordance with the Research Integrity Policy or to the Health New Zealand Research (National Office), as applicable. The interpretation of what constitutes a standard, minor or non-minor condition shall be detailed further in the Ethical Guidance

[Conditional approval](#)

When an application is conditionally approved, the IEC requires further amendments to the application or further documentation provided before the study can commence. The researcher must provide the requested revisions / modifications / clarifications / documents and highlight any made in the text of the resubmitted documents by using tracked changes. Changes to the application form will show up as tracked when re-submitted.

These amendments will be signed off by the University's Ethics Team, who may seek advice from an IEC member or Chair. These amendments do not require further IEC review unless required by the Chair. The researcher must receive an approval letter from the Ethics Team before commencing their research.

A conditionally approved application does not have ethics approval until the applicant has submitted the amendments and received the approval letter.

[Pending resubmission](#)

In this instance, the IEC has not granted approval. This is usually because there are substantive ethical issues that still need to be addressed or are unresolved, or insufficient information provided to allow the IEC to make a decision. Applicants must make the changes required by the IEC and resubmit the application for review at a next IEC meeting. The IEC will review the application to determine if all outstanding ethical issues have been resolved and may require further changes.

Expedited applications do not receive a pending outcome. If the reviewers consider that an expedited application presents a more than low-risk, the application will be referred for review by the full IEC.

Expedited applications that are low-risk but require further information or changes before approval can be given may be returned to applicants to make further changes or provide additional information.

Empowered

In some cases, one or more IEC members can be empowered by the IEC to work with applicants to resolve outstanding issues until the application can be approved. The researcher must contact the nominated IEC member(s) and arrange a meeting / exchange of correspondence with them in order to clarify the IEC's concerns. Once the IEC member(s) are satisfied that all the required changes have been made, the application will be approved, and the proposed research can commence. The approval will be noted on the agenda of the next IEC meeting.

Not required

If the IEC decides that an ethics application or approval is not required, this will be communicated to the applicant.

Declined

The application cannot be approved due significant ethical issues and risk, and the project cannot proceed. It is rare that an application is declined. The IEC aims to help researchers bring their research proposals up to the standard required for approval or to resolve ethical issues.

Referred to another IEC

The research falls within the scope of another IEC and should be submitted to that IEC.

Referred to HDEC

The research falls within the scope review by a Health and Disability Ethics Committee (HDEC). The researcher must prepare an application using the HDEC online application form and submit it for HDEC review once University institutional approval has been obtained. University institutional approval is not required for HDEC applications from Health New Zealand researchers.

14. EXEMPTIONS

AHREC and UAHPEC shall treat the following activities as exempt in their review of ethics applications:

1. Teaching and course evaluations within the University, including all student surveys conducted in accordance with the University's Student Survey Policy and Procedures that are not for the purpose of research or publication
2. Departmental reviews and similar evaluations
3. Surveys, questionnaires or interviews by University members undertaken not for the purposes of research but only for improving the teaching and administrative activities of the University

4. A solitary interview with an individual public figure about public matters, or an interview with a single participant who is asked to discuss his or her area of expertise and who can reasonably be regarded as having sufficient seniority and experience to be aware of, and protect, his or her own interests with regard to the research and its publication. A series of interviews with a single person or a number of persons on the same topic in some cases may also be exempt. Further details on when such interviews require ethics approval are outlined in the University Ethical Guidelines.
5. Observational studies in public where participants are not identifiable. However, this is subject to any limitations detailed in the Ethical Guidelines, such as the involvement of video and audio recordings in public.
6. Discussions of a preliminary nature that will assist in the development of a research study or instrument, but will not provide data to be incorporated into the research dataset.
7. Research using only published or publicly available data.
8. Secondary use of data from domestic and/or international databanks and biobanks where the HRC EC or other comparable IECs and Institutional Review Boards (IRBs) have approved for these to be regarded as exempt, as detailed in the University's Ethical Guidance.
9. Research that is undertaken independently of the University (for example, in private consultancy), so long as the participants are told at the outset that the research is not connected with the University. Under no circumstances should the name of the University, the researcher's University title or the University logo be used. In these circumstances, researchers are advised to check for any independent institutional ethical review requirements.
10. Research that is undertaken independently of Health New Zealand by Health New Zealand researchers, so long as the participants are told at the outset that the research is not connected with Health New Zealand. In these circumstances, researchers are advised to check for any independent institutional ethical review requirements.

15. RATIFICATIONS

The Chair of AHREC and UAHPEC is delegated to ratify applications that have been approved by another domestic or international ethics committee, other than HDEC.

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

- The original ethics approval is from a committee whose ethical standards are similar to the University's IECs
- The staff member(s) seeking ratification is/are named on the original approved application (or an approved amendment)
- Any intended research site in New Zealand is included in the original approval or an approved amendment.

- The staff member seeking ratification has confirmed that the participants will only be those mentioned in the originally approved application.

Upon receiving an application for ratification, the Chair may refer the ratification request to the full IEC for review.

16. NON-RESEARCH RELATED APPLICATIONS

On occasion, the IECs may review non-research related applications on a case-by-case basis, including quality improvements, clinical audits, and clinical training courses for students.

Quality Improvement (QI)

As noted in the National Ethical Standards and the Health Quality & Safety Commission (HQSC) | Te Tāhū Hauora ethics guide for QI projects, QI projects are generally considered to be low risk.

Factors that might increase the risk profile of a QI project include:

- there is a potential for physical or psychological harm to consumers
- vulnerable individuals or groups are involved
- additional burdens are put onto consumers and health care professionals to take part
- the data collected are of a sensitive nature
- the use of data is secondary to that for which it was originally consented
- individuals may be identifiable through the way the data are used or made available
- there is not enough evidence to determine that the proposed change in the standard of clinical care is safe or effective
- the activity is unlikely to provide direct benefits to consumers
- the involvement of a student

AHREC will review QI applications when:

- 1) they are more than low-risk, and
- 2) the activity is likely classified as research, as indicated by any of the following:
 - the activity is primarily intended to create new, generalisable knowledge,
 - the activity will occur outside of the standard of clinical care,
 - the interventions will be allocated differently among participants through randomisation, use of control groups and/or placebos,
 - the activity will involve the collection or storage of human tissue outside of the standard of clinical care,
 - the results are intended to be published, or have the future potential, in an academic journal,
 - the activity involves a student, and
- 3) the activity is not eligible for review by HDEC.

QI activities not meeting criteria 1) and 2) above will be undertaken by Health New Zealand or the University, as applicable, without ethical review.

Clinical Audits

Clinical Audits are a tool used for QI and Quality Assurance. As per the National Ethical Standards, clinical audits involve investigating and checking whether clinical activities meet national or international standards, policies, guidelines, or best practice reviews in order to

improve the activities. Audits can also include reviewing a change in practice to determine whether outcomes have met the required or desired result.

Factors that might increase the risk profile of a clinical audit project include:

- individuals may be identifiable through the way the data will be used, stored, transported or made available.
- access to personal information that extends beyond members of the clinical care team or to individuals/parties who do not normally have access to such personal information or other relevant data sets.
- The audit activity involves individuals or communities that are considered rare, small, and unique and, therefore, could be easily identified.
- The results are intended to be published, or have the future potential, in an academic journal.
- The audit involves a student.

AHREC will review clinical audit applications if it meets any of the criteria mentioned above under QI applications.

Clinical training for students

Some courses require University departments to seek volunteers from the wider community or students to examine each other during clinical training sessions (e.g. sonographers enrolled in specific Health Sciences courses), teaching, or demonstration purposes. Such activities require ethical consideration, therefore, applications involving such activities may on occasion be reviewed by the IEC using a coursework application.

17. DELEGATION OF AUTHORITY

Head of Research Ethics

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

- Minor amendments.

Chairs and Deputy Chairs

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

- Minor amendments
- Ratifications.

IEC Subcommittees

Subcommittees may exercise delegated decision-making for:

- Expedited reviews (minimum of two IEC members, including the Chair)
- Out-of-cycle reviews (minimum of four IEC members, including the Chair).

18. FACULTY ETHICS ADVISERS

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

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

Recruitment of Faculty Ethics Advisers will be managed by the Research Ethics Team who shall confirm Academic Head endorsement of the proposed appointment and associated service contribution prior to requesting final Deputy Vice-Chancellor (Research and Innovation) approval.

19. REPORTING

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

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

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

20. OFFICIAL INFORMATION ACT (OIA) REQUESTS

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

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

21. UNEXPECTED HARM AND COMPLAINTS

An important part of UAHPEC and AHREC responsibilities is the investigation of complaints and expressions of concern received, as well as the evaluation of events in which research participants have been unexpectedly harmed.

Unexpected harm

IECs shall require written reports to be submitted in all cases of unexpected harm.

It is the responsibility of researchers (in the case of students, through their primary supervisor) to report these unexpected harms using the *Report Form for Adverse Events and Complaints*, which can be requested from the Ethics Team at humanethics@auckland.ac.nz.

All serious adverse events shall be reported by the Head of Research Ethics to the Deputy Vice-Chancellor (Research and Innovation). Adverse events relating to Health New Zealand researchers and research projects shall be reported to the relevant authority at Health New Zealand.

Other complaints and expressions of concern

Members of the public and participants

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

Members of the University and Health New Zealand

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

Complaints about IEC Chairs

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

Privacy and Confidentiality

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

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

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

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

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

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

Investigation Procedures

Members of Health New Zealand

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

Members of the University

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

8.3

Potential Outcomes

The potential outcomes from an investigation of a complaint, expressions of concern or unexpectedly harm are:

- the matter is closed without further action
- the applicant is requested to submit an amendment to their application
- the matter is referred to the University's *Research Integrity Officer* where there is a suspected breach of the University's Research Integrity Policy
- the ethics approval is suspended or cancelled
- the matter is referred to the HRC EC for a second opinion
- the matter is referred to another more appropriate body or agency.

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

The outcome of all investigations will be reported to the relevant IEC at the next available meeting and shall be included in the annual report to HRC EC.

APPENDIX 1: APPROVERS OF IEC GOVERNANCE DOCUMENTS

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

Documents Management Table

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

APPENDIX 2: ABBREVIATIONS

- AHREC** Auckland Health Research Ethics Committee
- DVC (R & I)** Deputy Vice Chancellor (Research and Innovation)
- ECART** Ethics Committee on Assisted Reproductive Technology
- FMHS** Faculty of Medical and Health Sciences
- GTAC** Gene Technology Advisory Committee
- HDEC** Health and Disability Ethics Committee
- HHRGC** Human Health Research Governance Committee
- HQSC** Health Quality & Safety Commission
- HRE** Head of Research and Ethics
- HRC** Health Research Council
- HRC EC** Health Research Council Ethics Committee
- IEC** Institutional Ethics Committee
- IRB** Institutional Review Boards
- MRGG** Māori Research Governance Group
- NEAC** National Ethics Advisory Committee
- PI** Principal Investigator
- SCOTT** Standing Committee of Therapeutic Trials
- SOPs** Standard Operating Procedures
- QI** Quality Improvement
- UAHPEC** University of Auckland Human Participant Ethics Committee

APPENDIX 3: GLOSSARY

Adverse events are those with negative or unfavourable reactions or results that are unintended, unexpected or unplanned. In practice this is most often understood as an event which results in harm or has the potential to result in harm to the participant. In the context of clinical trials, the meaning of adverse event also includes any unfavourable or untoward medical occurrence in a patient or clinical trial participant which does not necessarily have a causal relationship with the treatment.

Auckland Health Research Ethics Committee (AHREC) is one of the Institutional Ethics Committees (IECs) hosted by the University and approved by the HRC EC under the *Health Research Council Act 1990*. The scope of AHREC is to consider health research, health-related research and clinical research that is not eligible for review by HDEC.

Clinical Audit is a tool used to systematically evaluate an aspect of patient care and clinical practice against set standards to identify areas of improvement or whether specific changes have met required outcomes.

Conflict of interest has the meaning set out in the University's Conflict of Interest Policy, as updated from time to time.

Course-based research refers to research activities conducted by a student as part of an academic program at the University that does not culminate in the completion of a thesis or dissertation.

Ethical Guidelines refer to the University's *Ethical Guidelines* which describe how the ethical standards, University policies and IEC policies and procedures detailed in these SOPs will be applied in different research contexts.

Ethics Team means the University of Auckland team within Te Puna Tiketike | Research and Innovation Office that provides Secretariat support to AHREC and UAHPEC.

Harm includes physical harm, psychological harm, disrespect or harm to dignity, social or cultural harm, privacy harm, economic harm, legal harm, data harms and autonomy harm.

Head of Research Ethics means the manager of the Ethics Team.

Health and Disability Ethics Committees (HDECs) are Ministerial committees established under section 87 of the *Pae Ora (Healthy Futures) Act 2022* and approved by the HRC EC, whose function is to secure the benefits of health and disability research by checking that it meets or exceeds established ethical standards.

Health research, health-related research and clinical research refers to research that is not within scope of HDEC and which seeks to understand health and disease or which utilises human tissue, health information, health data, evaluation of health services.

Health Research Council Ethics Committee (HRC EC) refers to the committee that approves Institutional Ethics Committees (IECs) under sections 25(1)(c) and 25(1)(f) of the *Health Research Council Act 1990*.

HRC Approval Guidelines refer to the *Health Research Council Guidelines for Approval of Ethics Committees (2012)*.

Human participant means a person with whom there is some intervention or interaction that would not otherwise be occurring, or would be occurring in some other fashion, but for the research, or as a result of the research.

Institutional Ethics Committees (IECs) are ethics committees that are approved and accredited by the HRC EC to review and approve ethics applications.

Lay member has the meaning set out in Section 7 of these SOPs.

Members of the University community encompass all staff (permanent, temporary, and part-time staff), honorary staff, students (full-time and part-time, elective students, exchange students), contractors, subcontractors, consultants, alumni, associates, business partners or official visitors or guests of members of the University or Auckland UniServices Limited.

National Ethics Advisory Committee (NEAC) is the ministerial advisory committee established under section 92 of the Pae Ora (Healthy Futures) Act 2022 to provide advice to the Minister of Health on ethical issues of national significance in health and disability matters.

National Ethical Standards refer to the *National Ethical Standards for Health and Disability Research and Quality Improvement* (2019) published by the National Ethics Advisory Committee (NEAC).

Research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline. It is an independent, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances. Research includes contribution to the intellectual infrastructure of subjects and disciplines (e.g. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.

Serious adverse events are those that: result in death; are life threatening; require inpatient hospitalisation or result in prolongation of existing hospitalisation; result in persistent or significant disability or incapacity; consists of a congenital anomaly or birth defect; is a medically important event or reaction; or other serious events which, in the judgement of the researcher, result in serious harm(s) to participants.

Special resolution means an agreement by consensus of all members.

Standard Operating Procedures (SOPs) refer to the University's SOPs for IECs that are approved by the University Council.

Student research project refers to research conducted by a student as part of an academic program at the University that culminates in the completion of a thesis or dissertation.

Quality improvement (QI) refers to activities which aim to improve healthcare by assessing current situation and systematically implementing/testing evidence-based knowledge within a local organisation. The goal of QI is to ensure healthcare delivered by organisations are effective, safe, and equitable through the applications of improvement science methodology. QI may be conducted within a health and care or community setting.

Health New Zealand | Te Whatu Ora Northern Region includes: Te Toka Tumai Auckland (previously Auckland DHB); Counties Manukau (previously CM Health); Waitematā (previously Waitematā DHB), and Te Tai Tokerau (previously Northland DHB).

University means Waipapa Taumata Rau | University of Auckland and includes all subsidiaries.

University of Auckland Human Participant Ethics Committee (UAHPEC) is one of the Institutional Ethics Committees (IECs) hosted by the University and approved by the HRC EC under the *Health Research Council Act 1990*. The scope of UAHPEC is to consider human participant research that is not eligible for review by HDEC or AHREC.