



INVESTMENT PLAN

2008 – 2010

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PLAN CONTEXT

INTRODUCTION

Auckland University of Technology (AUT University) is a contemporary university making a distinctive contribution to the New Zealand tertiary education sector through innovative approaches to teaching, learning and research. AUT University was recently described by the Minister for Tertiary Education as a “vibrant and energetic university focused on research-led teaching”.¹

The purpose of this Investment Plan is to summarise AUT University’s distinctiveness and to set out the direction of the University for the period 2008 – 2010. This direction has been informed by:

- AUT University’s Strategic Plan (2007–2011) which can be found at www.aut.ac.nz/staff/office_of_the_vice-chancellor/key_documents.htm
- The Tertiary Education Strategy (2007–2012)
- The Statement of Tertiary Education Priorities (2008–2010)
- The Tertiary Education Commission’s Investment Guidance (2008–2010)
- Negotiations with AUT University’s Investment Manager.

AUT University also acknowledges the significant investment by Government of \$50 million (through the recent capital injection) and the Government’s desire to see a strengthening of the University’s research culture and capability, thereby enhancing the ability of AUT University to deliver high quality research-led teaching at undergraduate and postgraduate levels. At the time of submitting this Investment Plan the Capital Investment negotiations have not been concluded. The negotiations may impact on parts of this Investment Plan, although this will be unlikely to alter the strategic direction outlined.

CONTEXTUAL STATEMENT

1. **Background:** AUT University is located at three campuses within the Auckland Region (City Campus, North Shore Campus and AUT Technology Park in Penrose). A principal focus of the University is its connectedness to the communities it serves, promoting equitable access and opportunities for success for students from across the region while meeting the needs of professions, business and industry. While having a strong international component to its activities, the University places its primary emphasis on contributing to the social and economic advancement of New Zealand, and has a particular responsibility to the Auckland Region from where a significant proportion of its students and stakeholders come, and which is of pivotal importance to the social and economic development of New Zealand. The distinctive social and economic nature of the Auckland Region provides a very specific context in which the activities of AUT University will develop in the period 2008–2010.
2. **Auckland Region Demographics:** The Auckland Region has a diverse population, making up almost a third of the New Zealand population. It continues to grow through migration, both external and internal, and natural growth. Between 2001 and 2006, a number of demographic trends emerged which are expected to continue into the foreseeable future:

¹ Letter to Sir Paul Reeves, Chancellor, from the Hon Dr Michael Cullen, Minister for Tertiary Education, dated 10 August 2007.

- The European population, in line with previous projections, dropped proportionally and numerically from 67.4 per cent (820,600) to 56.5 per cent (698,622). This drop was attributed to an aging population with a lower fertility rate
- The Asian population, as projected, increased proportionally and numerically from 14.4 per cent (175,100) to 18.9 per cent (234,222) with a concentration in the 20 to 60 age band
- The Pasifika population decreased proportionally but increased numerically from 175,900 (14.5 per cent) to 177,936 (14.4 per cent) with a significantly higher birth rate and higher growth rates in the younger age bands (0 to 20) than for the European and Asian populations
- The Māori population, counter to predictions, decreased both proportionally and numerically from 11.8 per cent (143,700) to 11.1 per cent (137,133). As with the Pasifika population, however, the Māori population had a higher birth rate and higher growth rates in the younger age bands than the European and Asian populations.

AUT University seeks to provide opportunities for everyone to access and succeed in a university education, and has placed an emphasis on encouraging under-represented groups to progress to higher education qualifications. The patterns within the Māori and Pasifika populations are therefore of particular significance. With higher birth rates and proportional increases in the younger age groups, Māori and Pasifika students will comprise more of the University's regional student catchment in future years. These increases in Māori and Pasifika student numbers occur, however, against the historical backdrop of lower levels of academic achievement at secondary school and lower levels of uptake of tertiary education. To promote access and success for Māori and Pasifika students and their communities, the University has committed itself to a number of special relationships and structures.

3. **Auckland's Economic Development:** The Auckland economy has been identified by various political and economic bodies as one of the key engines for New Zealand's economic growth and prosperity. The Regional Economic Development Strategy www.arc.govt.nz/arc/index outlines a vision for the Auckland Region as an "internationally competitive, inclusive and dynamic economy". A number of mechanisms have been established to support this vision, including the Economic Development Forum, the Regional Economic Development Unit, and the Metro Project.

AUT University is closely allied with the implementation of the Auckland Regional Economic Development Strategy, with its Pro-Vice Chancellor (Research) a member of the Economic Development Forum, and staff from the University's Institute of Public Policy being directly involved with the ongoing work of the Metro Project.

The Ministry of Economic Development recognises that Auckland's economic performance is key to achieving the Government's sustainable economic development objectives and returning New Zealand to the top half of the OECD rankings.

The *Auckland City Business and Economy Report 2007* identifies a number of economic trends that are significant to Auckland's growth and are directly relevant to the University's function within the city and region. According to the report, Auckland City's economy grew by 4.8 per cent in the financial year ended March 2006, significantly above the national growth rate of 2 per cent. Almost half of the city's Gross Domestic Product (GDP) growth came from the finance, insurance, property and business services sectors. Over the longer term, Auckland City is expected to have a higher growth rate than the New Zealand economy as a whole, due to the concentration of higher "value added" business services within the city, including financial services, information communication technology (ICT) and the creative sectors. By 2006, Auckland City's concentration of employment within these sectors had grown to comprise 41 per cent of the nation's ICT

jobs and 39 per cent of national employment in the creative sector. The Report also notes that Auckland City remains the business hub of the Auckland Region economy, accounting for 75 per cent of the region's finance and insurance jobs, 71 per cent of communication services jobs, and 68 per cent of regional employment in property and business services.

AUT University is one of Auckland's major providers of tertiary programmes relating to business and financial services, information communication technology and the creative industries. The centrality of these services and industries to the economic development of Auckland and New Zealand serves to underpin the University's growth and close fit with regional and national needs. AUT University is also a major provider of graduates to the Health Sector, niche areas in the Education Sector and to the hospitality and tourism industry, all of which are significant employers within the Auckland Region.

DISTINCTIVE CONTRIBUTION

1. AUT University became a university on 1 January 2000, emerging from a tradition of over 100 years of technical and vocational education. In the last seven years, AUT has undergone considerable change as it has enhanced its distinctive contribution as a university. It has strengthened those activities that traditionally reflect university status – notably research and the predominance of undergraduate and postgraduate education – whilst retaining some of the values to which it has been committed through its history. It prides itself on its:
 - Emphasis on ensuring that students are both educated to think for themselves and prepared for the world of work
 - Commitment to increasing access for students and ensuring their successful progression into higher education programmes
 - Concentration on the quality of the student experience as a core purpose
 - Emphasis on the integration of theory, practice and applied knowledge
 - Fostering of research that is both applicable to the external world and contributes to the relevant body of knowledge
 - Emphasis on its connections with its stakeholders.

In 2006 the University developed a new strategic plan for the period 2007 to 2011. When setting its current strategic direction, AUT University carefully considered: its record of performance; the changing demographics of its communities; the social and economic needs of the Auckland Region; and the national priorities identified by the Government for the university sector.

The Strategic Plan identifies five themes that will guide the future development of the University and reinforce its distinctiveness:

- AUT University will provide excellent education that inspires students to reach their full potential
 - AUT University will conduct excellent research, advancing knowledge and practice in its areas of expertise and supporting its higher education programmes
 - AUT University will actively engage with the communities it serves, and contribute to their social and economic development
 - AUT University will attract, develop and retain excellent staff
 - AUT University will ensure its sustainability through good management, strong performance and reputation.
2. The University promotes an innovative, flexible and adaptable curriculum that blends academic rigour with practice orientated programmes. The University's curriculum is also increasingly transdisciplinary in nature; synthesising and integrating scientific, cultural, creative and technological knowledge across discipline boundaries. The University's

research-led teaching and learning is responsive to the changing needs of employers and other stakeholder communities. The University provides its graduates with the theoretical and applied knowledge and skills necessary to make an ongoing contribution to the professional, business and community environments in which they will work.

The University offers programmes from the sub-degree to doctoral levels. It currently offers 116 degree programmes (63 undergraduate and 53 postgraduate) across a range of disciplines in the Faculties of Applied Humanities, Business, Design and Creative Technologies, Health and Environmental Sciences, and Te Ara Poutama (the Faculty of Māori Development).

3. The University's research is applied, interdisciplinary, policy-informed and connected, advancing knowledge and professional practice, and contributing to New Zealand's social and economic development. Moreover, the University's research is strongly integrated with the needs and aspirations of its stakeholders. The high priority the University places on engagement with research stakeholders is illustrated by the recently developed Research Institute Development Boards.
4. AUT University engages strongly with communities, particularly within the Auckland Region. It seeks to be a university of opportunity for historically under-represented groups in university education. A particular emphasis has been placed on its responsiveness to Māori and Pasifika communities.

Māori: In the Strategic Plan (2007–2011), the University describes how it will honour its commitment to the Treaty of Waitangi by being the university of choice for Māori. The University's strategic priorities for achieving this commitment include:

- Building effective relationships with mana whenua, iwi and Māori communities
- Conducting research that benefits Māori and their communities
- Including Māori pathways in the curriculum
- Promoting access, success and advancement for Māori staff and students²
- Valuing and promoting te reo and tikanga Māori.

The University's relationship with its iwi and community stakeholders is celebrated in the biennial Māori Expo, a showcasing of contemporary Māori lifestyles and culture, hosted by the University in conjunction with The Edge³.

Pasifika: In the Strategic Plan (2007–2011), the University describes its intention to be the university of choice for Pasifika. The University's strategic priorities for achieving this commitment include:

- Building effective relationships with Pasifika communities
- Encouraging access, success and advancement of Pasifika staff and students
- Conducting research that benefits Pasifika and their communities
- Including Pasifika pathways in the curriculum.

AUT University's responsiveness to the needs of its Pasifika communities is evident in the University's leading role in initiatives such as the National Diploma in Teaching (Early Childhood Education, Pasifika) and the recently approved Pasifika Early Childhood Teaching and Pasifika Primary Teaching specialties within the Bachelor of Education, and the Manukau Family Literacy Programme in collaboration with the City of Manukau Education Trust (COMET).

The University is also involved in extensive discussions with the Manukau City Council and the Manukau Institute of Technology regarding the development of a joint venture

² These include the pastoral support provided for students by Te Tari Takawaenga Māori (Māori Liaison Services) and the promotion of staircasing as a route by which students with low levels of secondary school achievement can progress to undergraduate and postgraduate study.

³ The City Council's department that operates Aotea and Town Hall as entertainment venues.

tertiary campus to service the tertiary education needs of Manukau City's population, which includes a significant proportion of Pasifika people.

The University will celebrate its relationships with Pasifika communities through the Pasifika Expo, a biennial event that will be launched in 2008.

As well as working with ethnic communities, the University also works with the Not For Profit sector alongside partners such as Methodist Mission Northern (MMN) and Auckland City Council on issues such as homelessness and improving access for people with disabilities. The University's community engagement moves away from a traditional philanthropic approach to be more strategic, seeking to engage with community partners to address issues of mutual interest and to each partner's benefit.

STAKEHOLDER ENGAGEMENT

1. The University has a significant number of dynamic, multi-layered and enduring relationships with stakeholders, and these relationships influence and guide the University's core business of teaching, learning and research.
2. **Government:** The Government, through the Ministry of Education and the Tertiary Education Commission, determines and maintains the policy and funding environment in which the University operates. The relationship between the two parties is longstanding, interdependent and ongoing. The Government provides investment funding necessary for the University's sustainability and development, while the University acknowledges the Government's strategic priorities for tertiary education (as expressed in the Tertiary Education Strategy 2007–2012 and the Statement of Tertiary Education Priorities 2008–2010). [These priorities are addressed elsewhere in this Investment Plan.]

The University also works closely with local government, particularly Auckland City Council, Auckland Regional Council, North Shore City Council and Manukau City Council. AUT is participating in Auckland City's Learning Quarter initiative and is involved in proposals to develop Aotea Square and an Arts Precinct. The University played a leading role in the Metro Project last year and has been an active participant in the Auckland Regional Transport Authority's Universities' Travel Plan project.

3. **Council:** The University's highest level engagement with stakeholders occurs through the auspices of AUT Council. The Council is the governing body of the University, ultimately responsible for ensuring the University's effective management and operation. The Council comprises appointees from the Government, iwi, Pacific Island Communities, commerce, industry, elected staff and students, Alumni, the University Academic Board and the Vice-Chancellor.
4. **Students:** Students are the University's most important internal stakeholder. To promote optimal engagement with its students, the University runs surveys that provide insight into the student experience of the programmes, services and facilities provided by the University. The three main student surveys are the AUT Annual Programme Survey, the Postgraduate Course Work Survey, and the Student Services Survey. The surveys are the starting point for a continuous cycle of feedback, quality improvement and development.

In addition to the formal feedback mechanisms described above, students participate directly in the administration and governance of the University through membership of top level University boards and committees, including Council, Academic Board, Academic Standards Committee and Research Committee.

5. **Alumni:** Alumni represent the University's largest and fastest-growing stakeholder

group. Significant effort goes into maintaining an accurate Alumni database, which supports regular communication and a programme of regular events.

6. **Staff:** Another important internal stakeholder group is the academic and administrative staff of the University. The University is committed to an open and consultative management style, providing opportunities for staff to comment on issues that affect them. The University's commitment to staff is encapsulated in Theme 4 of our Strategic Plan.
7. **Māori:** As befitting their status as Treaty partners, Māori are an important stakeholder. Five key elements of the University's engagement with Māori stakeholders are:
 - The Memorandum of Understanding with Ngati Whatua (o Orakei)
 - The Council Māori Education Working Group
 - The Office of the Pro Vice-Chancellor Māori Advancement
 - The University's Māori Advancement Advisory Committee
 - The Treaty of Waitangi Programme Development Policy.
8. **Pasifika:** AUT University is also engaged with Pasifika communities. The University has an Office of Pasifika Advancement to enhance its accountability and relevance to Pasifika communities. The Director of the Office of Pasifika Advancement is a member of the Vice-Chancellor's Department, and, together with the Pasifika representatives on Council, promotes commitment at the senior management and governance levels of the University to meeting the development and aspirations of Pasifika.
9. **Students with Disability:** AUT University engages with students with disability to foster their full and self-directed participation. Through specialist staff, the University provides these students with information, resources, adaptations and a supportive learning environment to enhance their achievement in tertiary education.
10. **Secondary Schools:** Another of the University's key community engagements is with secondary schools. University Relations and Advancement, through Recruitment Relationship Managers, works collaboratively with community groups and secondary schools to plan, develop, execute and evaluate coordinated initiatives for generating mutually beneficial outcomes. Proactive partnerships have resulted in a variety of projects, including a prefect training programme; a Pasifika business competition for South Auckland secondary schools, working with young elite athletes to succeed on the field and in the classroom; connecting industries with youth to develop greater understanding of career pathways; establishing career specific training programmes in school holidays; and implementing an On Campus Strategy whereby the University is accessible to potential students and their families all year round.

Through its Community Partnership Programme, the University delivers a \$1.5million scholarship programme into Auckland Secondary Schools to acknowledge and award students for academic excellence; for significant contribution and commitment to their school community; and for Māori and Pasifika youth leadership. The Community Partnership Programme builds capability by supporting future leaders and has also enabled a "first in family" strategy to be adopted in low social-economic areas, endorsing AUT's commitment to widening participating and access.

11. **Industry Advisory Committees:** The University consults with external professional bodies to determine the needs of employers and industry and collaborates with these stakeholders over programme development and relevance. This consultation optimises the University's ability to contribute effectively to the new knowledge economy. The key vehicle for this type of stakeholder engagement is the Industry Advisory Committees.

The purpose of the Industry Advisory Committees is to maintain close relationships between AUT University and relevant industry, community and professional groups in order to:

- Ensure the curricula of the University's programmes are appropriate and responsive to the needs of the work place and/or community, and are developed in consultation with relevant industry, community and professional bodies
 - Provide, from time to time, expert advice and assistance to the University to:
 - develop appropriate and significant professional development programmes for staff
 - acquire equipment and resources
 - advise the University on attracting and selecting academic staff, and
 - gain practical experience and employment for students in clinical and co-operative placements upon completion of programmes.
12. **Accreditation:** Another way AUT University promotes optimal engagement with the professions, business and industry is through the professional accreditation of relevant University qualifications. Accreditation bodies provide bench-marking opportunities across providers through a variety of practices that include audit of assessment, registration of graduates, and external monitoring of the curricula and the University's delivery of qualifications.
13. **Co-operative Education:** AUT University is committed to ensuring that student learning is not confined to the classroom. Students are able to experience and learn from the business and professional community in which they will participate as graduates and reflect on the relationship of their academic programme to professional practice. Co-operative education through internships in business, teaching practicums, clinical placements and other types of externally-based activity allows students to acquire skills and insights from direct experience in real situations and to apply theoretical knowledge to practice.
14. **Research Connectivity:** The University Research Office has a particularly important role in supporting the development of research at AUT University and promoting effective (mutually beneficial) relationships between University researchers and external stakeholders. The University Research Office promotes the University's strategy for applied, interdisciplinary, policy-informed and connected research that advances knowledge and professional practice, and contributes to New Zealand's social and economic development. The focus of the University Research Office is on enhancing AUT's research culture, and on identifying and growing capability and capacity in key areas.
- The University has a longstanding research engagement with industry and the professions, and strong emphasis is placed upon the practical, social and economic utility of research undertaken at the University. At the core of AUT University's research is the Research and Development Plan, through which the University articulates its aim "to be a recognised national provider of research that is sector-responsive and highly integrated with New Zealand's economic and social development".
15. **Research Institute Development Boards:** Research Institute Development Boards have been established for the University's Research Institutes following a review in 2006. Each Board provides strategic advice to the Director of the Research Institute pertaining to the overall direction and performance of the Institute (as a leading University centre of research and scholarship). Board members are nominated by the Institute Director and include relevant key external stakeholders. The Boards are thus a key means by which external stakeholders are able to influence and guide research development and capability at the University. They ensure strong alignment with industry, with public and private sectors, and with national and international individuals and agencies that are strategically placed in relationship to the future development of the respective Institute and the University.
16. **Research Commercialisation:** Engagement with stakeholders is an important element of the commercialisation of research. The transfer of AUT's research and technology through contract research, consultancy services, technology licensing and spin-off

creation is primarily carried out by the University's commercialisation company, AUT Enterprises Limited, a wholly owned subsidiary of AUT University for commercialisation activities. The centre for the University's research commercialisation is AUT Technology Park. AUT Technology Park is a "one-stop" collaborative commercialisation environment housing the University's Commercialisation Directorate (AUT Commercialisation), Research Institutes, a Business Incubator, a Conference Centre and several established businesses.

CAPABILITY DEVELOPMENTS

1. AUT University has a growing reputation as a new, vibrant and contemporary university that is making a significant contribution to the social and economic development of the Auckland Region and to New Zealand. The University needs to enhance its contribution and build its capability as a university, yet at the same time maintain its distinctiveness. The pace of change will be influenced by the funding available for investment.
2. The full range of activities that the University is seeking to achieve is contained within the University's Strategic Plan. This section of the Investment Plan prioritises key capability developments under five broad themes: it does not attempt to list all the activities that the University will undertake in the next three years. The themes are linked and cannot be addressed in isolation. A common thread is the changing student and research profile of the University and the need to build and develop staff capability.
3. **Building Higher Education:** AUT University is committed to growing its higher education (undergraduate and postgraduate degree) component. In 2006, 63 per cent of its students were in higher education programmes; the year-to-date 2007 figure is 67 per cent. The University has a target of achieving 75 per cent by 2010, and this will be achieved by:
 - a. **Reputation:** Maintaining its reputation for delivering high quality and relevant degrees in appropriate facilities, taught by staff with relevant knowledge and teaching expertise.
 - b. **Curriculum:** Continuing to broaden and deepen its higher education curriculum. This will be achieved by developing new programmes that meet stakeholder needs and by introducing more curriculum flexibility to allow more student choice. Curriculum initiatives will be strengthened by transdisciplinary collaboration.
 - c. **Pre-Degree programmes:** Reviewing its pre-degree programmes to ensure their continuing relevance to its role and mission. The University recognises the benefits of staircasing, especially as a way to progress Māori and Pasifika students in to higher education, and as a contributor to the University's distinctiveness. Moreover a number of pre-degree programmes are offered that meet stakeholder needs which are not provided by other institutions. Consequently the University must maintain an appropriate balance between its pre-degree and higher education profile.
4. **Building Research:** AUT University must continue to develop its research capability. Due to the University's transdisciplinary, applied and professional focus, combined with its strong links to business and the professions, its research profile will be distinctive from the other universities, with the potential for significant opportunities for knowledge transfer from academia to the private sector, thus contributing to the economic transformation goals of Government. Research will be advanced through:
 - a. **Staff Capability:** Providing staff with the time, resources and skills to conduct research. There are a number of ways in which this can be achieved. For instance the University is seeking opportunities to reduce the teaching load on staff without diminishing the emphasis on teaching that is part of our distinctiveness. The

University will also progressively reduce the percentage of academic staff with nine weeks annual leave through staff turnover and by offering to buy out leave from existing staff on these conditions.

- b. **Resources:** Providing staff and students with the resources and infrastructure to conduct research. The University has made significant and increasing investment in areas such as the University Research Office, the library, contestable research funds and scholarships. As the University's staff and student capability increases so must the investment in research resources.
 - c. **Facilities:** Providing researchers, whether staff or postgraduate students, access to appropriate facilities in which to conduct their research.
 - d. **Culture:** Continuing to develop a research culture that is appropriate for a new university, with an emphasis on interdisciplinary research that is applied in nature and informed by engagement with stakeholders. It is doing this in two main ways: it is investing in structures which facilitate research, such as the research institutes and clusters, and it is providing staff with the opportunity and encouragement to conduct research.
5. **Building Responsiveness to Under-represented Groups:** AUT University must continue to provide opportunities for the diverse communities that it serves. The University will seek to build on its Māori and Pasifika student outcomes, which already exceed the university sub-sector average, as well as providing opportunities for students with disability, new migrants and other communities. This will be achieved, inter alia, by:
- a. **Culture:** Promoting a culture that encourages inclusion and celebrates diversity, through staff awareness, management practices, procedures and policies.
 - b. **Access:** Encouraging access through a suite of recruitment programmes designed to raise student aspirations, through scholarships and by working with local communities and schools.
 - c. **Success:** Creating an environment that is conducive to student success, ensuring that, where appropriate, the University's qualifications contain papers that relate to Māori, Pasifika and other communities, providing appropriate student support and encouraging academic staff to utilise teaching methods that respect cultural perspectives.
 - d. **Progression:** Through staircasing and other arrangements encouraging students to progress to higher education qualifications. In addition initiatives will be implemented to encourage Māori and Pasifika postgraduate students to progress to an academic career.
 - e. **Manukau City:** Working with Manukau City Council and Manukau Institute of Technology to provide enhanced opportunities for residents of Manukau City to enter higher education.
6. **Building Facilities:** AUT University must continue to address the historic legacy of under funding for its facilities. Currently, in addition to its own facilities, the University is leasing 31,000m² of space for teaching and learning, research and administrative tasks. Some of this space is barely adequate for its current use. The University is currently undertaking a major review of how staff and students use space for the purposes of learning, teaching and research, and the ways in which this is changing. The appropriate blend of future-proofed refurbishment, redevelopment and new buildings can then be identified. The developments will include provision of more research space for both staff and postgraduate students.

7. **Sustainability:** AUT University will continue striving for excellence in planning, marketing, communications, financial management, administration and risk management. The University's operations will be conducted in a transparent and accountable way, and will be benchmarked with other universities nationally and internationally to ensure that our processes are effective and efficient.

UNIVERSITY RESPONSE TO GOVERNMENT PRIORITIES

The *Tertiary Education Strategy 2007-2012* (TES) incorporating the *Statement of Tertiary Education Priorities 2008 – 2010* (STEP) identifies the distinctive responsibilities of universities as:

1. Providing a wide range of research-led degree and postgraduate education that is of international quality
2. Undertaking excellent research in a broad range of fields
3. Engaging with external stakeholders (communities, business, industry, iwi, and the research community) in the dissemination and application of knowledge and in promoting learning.

The TES and STEP outline the key shifts and priorities that the Government considers necessary for achieving the desired system of high quality academic education and research. The following matrix outlines AUT University's intended strategic alignment with those key shifts and priorities identified as relevant to the universities. [The section in the Investment Plan on KPIs directly relates individual KPIs to these shifts and priorities.]

TES Key Shifts	AUT University Strategic Alignment
<p><u>TES Key Shift 1</u> Enhanced differentiation and complementarity among universities and with other sub-sectors to ensure an effective, high quality network of university provision.</p>	<p>AUT University is distinctive as a university (see Section on Distinctive Contribution) and it seeks to emulate the best of those overseas institutions that identify themselves as Universities of Technology. As such it is complementary to the more traditional and liberal arts-based universities. It draws comparisons with comparable jurisdictions overseas that have a symbiotic relationship between research intensive universities – such as the UK Russell Group – and 'new' universities with a more technological and applied focus.</p> <p>AUT University will continue to collaborate, where appropriate, with other institutions. It has a strategic alliance with the University of Auckland, is working with Manukau Institute of Technology over the provision of tertiary education in Manukau City and has articulation arrangements into its degrees with a range of other providers, regionally, nationally and internationally.</p>

<p><u>TES Key Shift 2</u> Increasing the achievement at degree and postgraduate levels of under-represented groups, especially Māori and Pacific students, through strengthening pathways from schools and other TEOs, and enhancing support structures within universities.</p>	<p>AUT University has a strong record of providing educational success for Māori and Pasifika students. The University's completion rates have been consistently higher than the university sub-sector average. The University, however, acknowledges that it still needs to do more to improve the educational success of its Māori and Pasifika students. (See Three Year Outlook Section.)</p> <p>In 2006 the New Zealand Universities Academic Audit Unit commended AUT University for the effectiveness of its school liaison work and for its staircasing philosophy and practice.</p>
<p><u>TES Key Shift 3</u> Enhancing the contribution that university teaching and research make to economic growth, and exploration of what more can be done to further understand and enhance that contribution.</p>	<p>AUT University is committed to contributing to the social and economic advancement of its region. It has strong connections with its stakeholders to ensure the relevancy of its curriculum and research. It makes a valuable contribution to economic growth through the intellectual capability of its graduates, who consistently have had among the highest employment rates of any New Zealand university, and through its increasing research activity. Over the next three years the University will seek to enhance its contribution in this area. (See Three Year Outlook Section).</p>
<p><u>TES Key Shift 4</u> Increasing collaboration and building critical mass in teaching and research, particularly in postgraduate research degree provision and in more specialised areas of undergraduate teaching.</p>	<p>AUT University has made significant progress towards building critical mass in teaching and research. The growth in the number of students studying in postgraduate qualifications has been substantial. Over the next three years the University will seek to develop further its postgraduate provision. (See Three Year Outlook Section).</p>
<p><u>TES Key Shift 5</u> Focusing capability building efforts to achieve increased quality and performance against international benchmarks.</p>	<p>AUT University assesses a range of its activities against international benchmarks in such programmes as TEFMA⁴, Educause, CAUDIT⁵ and the Association of Commonwealth Universities Benchmarking Programme. It seeks to emulate the best overseas technology universities. In most areas the University's performance measures favourably with international benchmarks. An area that will be enhanced during the next three years is research capability. (See Three Year Outlook Section).</p>

⁴ Tertiary Education Facilities Management Association

⁵ The Council of Australian University Directors of Information Technology

STEP Priorities	AUT University Strategic Alignment
<p><u>STEP Priority 1</u> Increasing educational success for young New Zealanders – more achieving qualifications at level 4 and above by age 25.</p>	<p>A large percentage of AUT University's students are school leavers and are under 25 years of age. The University will continue to work with schools and local communities to encourage young students into tertiary study. The University has a range of active programmes, such as the Plantation Programme, Prefects that Peak, and Student Mentor Programme that are designed to interact with young New Zealanders and encourage and inspire them to engage with university education.</p>
<p><u>STEP Priority 4</u> Improving research connections and linkages to create economic opportunities.</p>	<p>AUT University has established various arrangements to encourage and support research connections and linkages to create economic opportunities. Its strong connections with its stakeholders will provide opportunities to enhance its contribution in this area over the next three years.</p>

THREE YEAR OUTLOOK - PLANNED ACTIVITY (2008 – 2010)

INTRODUCTION

Over the last three years the University has undergone profound change to ensure its continuing development as a university and to ensure responsiveness to the Tertiary Education Strategy. The most notable changes are:

- Academic disciplines have been re-grouped into new faculty structures so as to develop new discipline synergies which prepare for the impact of convergent technologies
- The number of undergraduate and postgraduate qualifications have increased in response to stakeholder needs and the number of students studying at these levels has risen dramatically
- The research capability and capacity of the University has grown significantly, as illustrated by the increase in the number of Professors and the rise in the number and quality of research outputs (evidenced by the University's research quality score improving 141.6 per cent between the 2003 and 2006 Performance Based Research Fund (PBRF) surveys).

This section outlines the activities that will be undertaken by the University over the next three years grouped under the following headings: curriculum development, research development, Māori development, Pasifika development, Manukau City Centre Tertiary Campus, Millennium Institute of Sport and Health, and capital investment. It does not attempt to describe all of the activities that will be undertaken, merely to describe the broad thrust of current intentions, some of which may be adjusted to take into account developments that cannot be foreseen. Activities relating to staff and sustainability are not explicitly referred to but underpin the other activities.

CURRICULUM DEVELOPMENT

1. In 2005, the University introduced a Learning and Teaching Framework to cover the areas of curriculum development; learning, teaching and assessment; the associated student support framework; and quality management. The Framework was developed to guarantee consistency and rigour across the University, while retaining the appropriate levels of academic and disciplinary diversity needed for high quality learning and research.
2. The University has been reviewing and revising the curriculum and qualification structure at all levels so as to substantially increase flexibility and choice for students and staff in terms of level, place, content, length and design of study. This will ensure the delivery of the University's goals of providing relevant programmes and, in particular, a changed balance between degree and pre-degree work. Stronger linkages and integration between certificate, diploma and degree programmes will be introduced to guarantee progression through to higher levels. These changes should lead to increased responsiveness to stakeholder need and further AUT University's accessibility to national and regional domestic markets, and, in particular, those groups and communities traditionally under-represented at universities. It also reinforces the importance of the continuing relevance of all programme curricula to the disciplines and professions, and the requirement that they be at the leading edge of practice through strong linkages with professions, businesses and communities. In terms of the graduate profiles, the emphasis is on assisting students to become intellectually independent with a thorough understanding of the relevant body of knowledge.

3. Further changes to the curriculum will build on resources in existing discipline areas and create new synergies between discipline areas. Establishing coherence and synthesis in subject areas across the portfolio of programmes, together with the impact of convergent technologies, will result in some qualification restructuring and new areas of development. Ongoing collaboration between the faculties, as well as with other providers, professional bodies and international organisations, will strengthen response to the education needs of stakeholders and the advancement of the University's goals for curriculum, research and internationalisation.
4. The University's goal to enhance research capability and align more strongly the links between research and teaching will lead to an expansion of existing subject areas as well as development of new subject areas in undergraduate degree and postgraduate qualifications. The University will continue to expand its offerings to meet the need for high level professional education in niche and emerging areas of professional practice. At the same time, the University will consolidate its academic offerings in its existing fields of study and grow student numbers in undergraduate and postgraduate programmes.
5. As part of developing its undergraduate portfolio, the University intends to offer a Bachelor of Laws with a focus on Commercial Law. (A summary of the case for offering a Bachelor of Laws is attached as Appendix 4). The Bachelor of Laws has been approved by the Committee on University Academic Programmes. The University will engage further with the Tertiary Education Commission to gain its approval for the programme. AUT also acknowledges that in 2008 - 2010 any EFTS (for this programme) will have to be funded from within the existing Student Achievement Component baseline.
6. The University is committed to contributing to the educational needs of students and professions within a global workplace context, preparing students for global and knowledgeable citizenship, as well as for work and further study. The diversity of work and its complex environments requires graduates to be adaptable and have a broad set of skills and understandings to inform judgement and action. Student mobility means that curricula must be able to integrate previous learning into existing qualifications. Student capability development, preparedness for further education and employment, research capability and links, discipline knowledge structures, and multiple entry points will remain key factors that underpin curriculum development.
7. The University will continue to develop a "blended learning" approach that integrates new teaching strategies and technologies into learning – providing a wider range and combination of conventional classroom-based, open and technology-based teaching practices – that will both meet the needs of a changing and more diverse student body, and those of staff who face competing demands on their time. This will require the effective identification and dissemination of good practice, with useful and accessible institutional advice to staff and students on issues and policies relating to learning, teaching and research. Of particular importance is the systematic and consistent implementation of an assessment policy which increases the awareness and utilisation of different approaches to student assessment as a tool for enhancing learning and teaching. To support these changes, staff development will provide opportunities for staff to ensure that they are able to use a range of approaches and technologies in ways that meet the needs of students and other stakeholders.
8. The University considers that it has exceptionally strong student support mechanisms, both centrally and within the faculties. However, the increasingly complex and diverse nature of both the curricula and the student body itself requires more focus and targeting through mechanisms such as the First Year Experience initiative. The student support structure is presently under review to ensure that students have a range of services available to them both in-house and on-line, and in times and places suitable to their diverse needs. Dedicated and customised services for specific groups will be enhanced.

9. AUT University will also put in place more efficient and effective quality assurance processes, linked directly to enhancement, to underpin the Learning and Teaching Framework. A comprehensive review and revision of the quality assurance arrangements will be completed in order to maximise the enhancement of learning, teaching and research and minimise time spent on quality assurance. This will need an even greater awareness throughout the University of the quality assurance processes, the relevance of these processes to the enhancement of learning and teaching, and the need for such processes to be embedded into all activities of the institution. It will ensure that the variability of practices among faculties does not lead to significant divergence from institutional expectations and aspirations, thus avoiding inconsistencies in the quality of the student learning experience.

For further information on Curriculum Development refer to the following 'Commercial in Confidence' appendices:

- Appendix 1: Qualifications Approved To Be Delivered in 2008.
- Appendix 2: Signalling of Potential New Qualifications and Subjects for 2008–2010.
[This is an indicative list only and AUT University reserves the right to be responsive to stakeholder needs by developing other qualifications if the need occurs.]
- Appendix 3: Subcontracting and Joint Teaching.
- Appendix 4: AUT University Proposal for a Law Degree.

RESEARCH DEVELOPMENT

1. Over the next three years AUT University will continue to invest in the development of its research capabilities. Significant capability increases will depend on:
 - Increasing the number of academic staff whose terms and conditions of employment provide opportunities for research. This will be achieved by staff turnover and by progressively reducing the percentage of staff who are currently entitled to up to nine weeks leave a year.
 - Upgrading the facilities and enhancing the resources available for both staff and postgraduate students. The substantial increase in postgraduate enrolments over the past three years has created the need for more accommodation, equipment, library resources and laboratory facilities.

In addition to these fundamental requirements, the primary focus for research development will be concentrated on building the research infrastructure, which in this context refers to:

- Research leadership
 - Research mentoring and supervision
 - Research development and management systems.
2. AUT University will adopt a strategic approach to building its research leadership capabilities. For example, the University will appoint Professors and Postdoctoral Fellows to those research programmes identified by the University as major areas of research capability. Some of these appointments may emerge from within the University based on its objective to develop its own staff, while other appointments will be made from external sources.
 3. A second element aimed at building the University's research infrastructure is the development of staff/student capabilities. Most universities in New Zealand have designated positions for top postgraduate students which provide opportunities for these students to undertake some teaching/tutoring whilst at the same time completing an advanced tertiary qualification, usually a PhD or professional doctorate. In some

universities these postgraduate scholars are referred to as Assistant Lecturers or Graduate Assistants. AUT University does not currently have this tier of scholarship as an integral component of its research infrastructure. Over the period of this Investment Plan the University will provide resources to employ Graduate Assistants within the academic and research units of the University. This initiative is not only significant in terms of growing our own scholars and building the University's research capabilities, it is also important in developing an ethos for mentoring and supervision which is fundamental to the building of a vibrant research culture.

4. The University will also enhance the resources available for research development. Research development, which includes building sustainable, long-term research programmes, requires the engagement of development personnel capable of working alongside research leaders in constructing research programs, in forging stakeholder partnerships and in submitting funding applications. The University intends to expand the resources available for these activities so that the University Research Office can provide these services whilst at the same time extending stakeholder engagement in partnership with the Development Boards and with strategic communities. Examples of strategic communities include different industry sectors as well as population groups, with Pasifika communities being an example.
5. The University will also enhance its Research Management System. There are several aspects to the building of the Research Management System that are crucial to the philosophy of scholarship which underpins AUT University's distinctive approach to research-led education. The first is the introduction of an Academic Portfolio that will include all academic staff and which is designed to encompass teaching and learning, research outputs, university contribution in the form of management and administration, and community/professional engagement. A second aspect concerns the effective integration of those components of research management which are held in various databases located in different sectors of the University. AUT University has developed one element of this Research Management System with the decision to build an electronic library including the foundation of a scholarly commons. Investment will be made to advance this foundation by building an integrated data system that includes the ability to accommodate the academic portfolio.

MĀORI DEVELOPMENT

1. AUT University is committed to responding creatively and boldly to the learning needs of Māori. In a larger context however, Māori responsiveness is consistent with addressing fundamental questions related to our identity as modern New Zealanders informed about our past, aware of our present and confident about our future. AUT University's Māori responsiveness will be guided by its Strategic Plan (2007–2011). The Strategic Plan sets an objective "To honour the commitment to the Treaty of Waitangi by being the university of choice for Māori" (Objective 10, AUT University Strategic Plan 2007–2011) with the following priorities:
 - Building effective relationships with mana whenua, iwi and Māori communities
 - Conducting research that benefits Māori and their communities
 - Including Māori pathways in the curriculum
 - Promoting access, success and advancement for Māori staff and students
 - Valuing and promoting te reo and tikanga Māori.
2. Over the next three years AUT University will continue to build on its relationship with Ngāti Whatua o Orakei and develop and build on relationships with other mana whenua groups, iwi and Māori communities including:
 - Ngāti Whatua
 - Tainui
 - Awataha Marae

- Te Taura Whiri i te Reo Māori
 - Tainui Endowed College
 - Te Ataarangi
 - Te Māngai Pāho
 - Te Wānanga o Raukawa
 - Te Wānanga o Awanuiārangi
 - Te Wānanga o Aotearoa.
3. AUT University will continue to work alongside Māori communities to identify and provide solutions to the issues, challenges and needs they might have. In order to achieve this, the University will strengthen its research capacity in the following research areas through targeted recruitment and strategic workforce development:
 - Mātauranga Māori
 - Te Reo me nga tikanga Māori
 - Māori Health
 - Environmental Science
 - Māori Business.
 4. AUT University will establish Te Ipukarea, the National Māori Language Institute. Its focus will be on the pursuit of excellence in scholarship, teaching and research for the purposes of improving the quality and relevance of Māori language. Concurrently it will establish a digital platform for the creation, delivery and assessment of te reo Māori curricula. The support of key end-user groups including both industry and community groups are to be a unique feature of Te Ipukarea's activities.
 5. AUT University will ensure that the curriculum fosters mātauranga Māori and an awareness of the bicultural development of Aotearoa/New Zealand and its place in the world. Māori pathways in the University's curriculum, particularly at postgraduate level, will be expanded and strengthened. This will require integration with targeted recruitment and workforce development initiatives to increase the number of Māori academic staff.
 6. In its commitment to building an inclusive Aotearoa/New Zealand and in recognition of the value of Māori language and culture, AUT University will continue to promote te reo Māori options in all of its programmes. The University will strengthen its branding as a tertiary education provider located in the Pacific and guided by Māori values and custom. Importantly it will celebrate its identity as a uniquely Aotearoa/New Zealand institution. AUT University will enhance initiatives to encourage all students and staff to improve their knowledge and understanding of tikanga Māori and te reo Māori. AUT University will also continue to develop specific opportunities for international students to experience Māori culture and language.

PASIFIKA DEVELOPMENT

1. In the context of excellence, relevance and connectedness, AUT University looks to substantiate its responsiveness to Pasifika advancement by becoming the university of choice for Pasifika communities. The University will continue to promote a culture of inclusion and celebration of diversity. AUT University will develop a Pasifika Action Plan which will set the direction for the University and will form the basis for achieving Pasifika advancement at AUT. The Pasifika Plan will be guided by the University's Strategic Plan (2007–2011) which focuses specifically on the following areas:
 - Building effective relationships with the Pasifika communities
 - Encouraging access, success and advancement of Pasifika staff and students
 - Conducting research that benefits Pasifika and their communities
 - Including Pasifika pathways in the curriculum.

AUT University will strengthen the network of Pasifika stakeholder communities through the establishment of a Pasifika community leaders group and by championing key internal relationships to assist the effective development and delivery of strategies, services and programmes for Pasifika advancement.

2. Key strategies for the next three years include:
 - Facilitating effective staff development opportunities for the promotion of Pasifika scholars within AUT University
 - Facilitating the contribution of Pasifika expertise within the strategic planning and policy development process in order to increase Pasifika participation in key decisions across the University
 - Enhancing the network of Pasifika tertiary staff to add to the professional development and advancement of Pasifika participation in the tertiary sector
 - Facilitating the investment in retention of Pasifika staff to develop the AUT leaders of tomorrow
 - Providing opportunities for progression to higher levels of study for Pasifika students by fostering strategic relationships with secondary schools in the Auckland Region and with other tertiary education providers that specialise in Pasifika pre-degree education
 - Developing an integrated workforce development plan that establishes the University as the employer of choice for Pasifika.
3. AUT University will facilitate the development of Pasifika knowledges, expertise and research by strengthening the capacity of Pasifika postgraduate students, AUT staff and the University Pasifika research culture. AUT University will explore the possibility of bringing together the existing research expertise in Pasifika health, education and economic development to create a research cluster that can, over time, be broadened to include other relevant research areas.
4. AUT University will encourage further Pasifika curriculum development within academic programmes across the University that add to the cross-cultural understanding of the Auckland Region.

MANUKAU CITY CENTRE TERTIARY CAMPUS

1. AUT University is working in collaboration with Manukau Institute of Technology (MIT) and Manukau City Council (MCC) to establish a tertiary campus in the centre of Manukau City.
2. An analysis conducted three years ago identified that students from Manukau City were under-represented at the University, that the population was generally under-achieving educationally and that Manukau City has a growing and diverse population. Furthermore, in 2004 the Manukau City Council completed a skills forecast out until 2012. This analysis concluded that:
 - 40,000 new jobs will be created in the next eight years, primarily in business services
 - More than 8,000 people with vocational qualifications will be needed
 - More than 10,000 people with degrees will be needed to meet demand
 - Approximately 58 per cent of jobs will require post-school qualifications
 - Māori and Pasifika are currently under-represented in those industries where most growth is expected.

Consequently there is a growing and currently unmet demand for tertiary education. Establishing a campus in Manukau City would allow AUT University to engage with communities that are presently under-represented in higher education. To this end, the University has been examining options for establishing a campus that is easier for residents of Manukau City to get to, in terms of time and distance, and which could be

better suited to their needs. The University acknowledges that a campus, by itself, will not resolve all of the reasons for educational under-achievement and the University will continue to work with schools and communities to raise educational aspirations and develop pathways into university education.

3. In 2005, AUT University and Manukau Institute of Technology signed a Letter of Intent to investigate the establishment of a joint tertiary campus in Manukau City. In May 2007 the two institutions plus Manukau City Council signed a Heads of Agreement to further the concept that the two institutions would establish a tertiary campus in the revitalised Manukau City Centre on land provided by Manukau City Council, with the option of establishing a temporary campus beforehand. The current time scale for establishing the permanent campus is 2012. This date is driven by the need to complete the infrastructure projects that are required as part of the revitalisation of the city centre but could be delayed if these infrastructure programmes take longer to complete than expected. The institutions have also examined options for a temporary campus to deliver programmes in 2008.
4. Over the last eighteen months the three partner organisations have:
 - Explored potential locations for both the permanent and temporary campus
 - Conducted market research which indicated that demand for a joint campus exists
 - Commissioned an initial concept design for a permanent campus within the revitalised city centre
 - Examined a potential portfolio of programmes, designed to ensure clearly defined and articulated pathways from MIT courses into AUT University degrees that meet the needs of both students and stakeholders
5. Despite the failure so far to secure a temporary campus to start offering programmes in Semester 1 of 2008, all three partners remain committed to the establishment of a permanent campus in the revitalised city centre. Over the next three years the University will work with Manukau Institute of Technology and Manukau City Council to further develop the concept and design of the tertiary campus, with construction probably starting in 2010.

In parallel with this, AUT University will continue to build a presence in the Manukau City Centre in partnership with MIT, through the development of its programme offerings, and through the development of enhanced relationships with the communities in Manukau City. AUT University seeks to use this opportunity to build its profile in the community and to build the demand and aspiration for higher education qualifications in order to ensure the critical mass of students necessary for the viability of a new campus.

MILLENNIUM INSTITUTE OF SPORT AND HEALTH

1. AUT University has been in discussion with the Millennium Institute of Sport and Health about creating a world class centre of sport and health research and education. In 2007 the institutions signed a Memorandum of Understanding that set out a framework for establishing a joint venture to leverage their respective strengths. The arrangements assume capital investment to expand the facilities available at the Antares Place site. This arrangement is an opportunity for AUT University to build upon its existing strengths in the sport and health sciences and to further develop its research capability in this area.
2. Over the period of this Investment Plan, AUT University will continue to work with the Millennium Institute of Sport and Health and the Government to implement the proposal to establish an AUT-Millennium Institute of Sport and Health.

CAPITAL INVESTMENT

1. AUT University has made significant investments in its assets to ensure its ongoing sustainability and continuing advancement as a university. Since 1995, the University has invested over \$210 million in its Wellesley and Akoranga campuses. AUT University has self-funded \$125 million of this investment and funded the balance of \$85 million by bank debt.
2. The negative impact of the increasing interest burden has forced AUT University to slow its rate of new building in recent years. AUT University currently leases over 32,500 square metres of space in the Auckland central business district to provide both teaching and administration space. Even with the additional leased space, AUT University's average space per EFTS of 9.2 sqm is significantly below the New Zealand universities' average of 14 sqm per EFTS.
3. The Government's suspensory loan of \$50 million has a three-fold objective:
 - Reduction of debt to a sustainable level
 - Embedding and building a research culture within the University
 - Providing adequate teaching, learning and research infrastructure, including the provision of fit-for-purpose accommodation, while reducing its dependence on leased space.
4. The University is currently undertaking a campus master-planning exercise to determine its long-term building infrastructure requirements. An outcome of this will be a staged plan of required capital developments to fulfil the third objective above.

SUMMARY OF ACTIVITY

The Summary of Activity section provides details of AUT University's planned delivery of tertiary education for the three years of the Investment Plan. Included in the section are details of the total Student Achievement Component funding the University seeks from the Tertiary Education Commission, based upon the University's proposed mix of provision and anticipated student numbers for the three year period.

Detailed information is provided to the Tertiary Education Commission in the following appendices marked 'Commercial in Confidence':

- Appendix 5: Mix and Volume of Tertiary Education Commission funded EFTS
- Appendix 6: Tertiary Education Organisation Component and other Tertiary Education Commission funds.

KEY PERFORMANCE INDICATORS

OUTCOME COMMITMENTS – STATEMENT OF OBJECTIVES

1. The Auckland University of Technology presents its Statement of Objectives covering the breadth of the University's activities (a complete picture of non-financial performance indicators, not just those activities funded by the TEC). This is to meet requirements currently set out in the Education Act 1989, Public Finance Act 1989 and the Crown Entities Act 2004.
2. The Critical Success Factors documented in the Strategic Plan 2007-2011 indicate particular areas of focus for the University to ensure that the Strategic Plan is being successfully implemented. The following Performance Measures and Key Performance Indicators define and monitor targets that support the Critical Success Factors.
3. The contribution of the University to the TES (2007-2012) and STEP (2008-2010) is highlighted where relevant with respect to the appropriate key performance indicator.
4. The Key Performance Indicators are subject to change following completion of the Capital Investment negotiation.

THEME 1: AUT UNIVERSITY WILL PROVIDE EXCELLENT EDUCATION THAT INSPIRES STUDENTS TO REACH THEIR FULL POTENTIAL.

CSF 1 • TO BE THE BEST PLACE TO LEARN

Performance Measure 1.1

Objective ▶ To maintain or enhance the success of our students.

Contribution to TES Key Shift 2*

TES/STEP ▶ STEP Priority 1*

* For the full wording of TES Key Shifts and STEP Priorities please refer to the University Response to Government Priorities section of the Investment Plan 2008 – 2010.

Key Performance Indicators

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To maintain or improve the successful completion rates of our students. ⁶					
▪ University Average: 80%–85%	81%	80%-85%	80%-85%	80%–85%	80%–85%
▪ Pre-degree Students: 70%–75%	72%	70%-75%	70%–75%	70%–75%	70%–75%
▪ Undergraduate Students: 85%–90%	86%	85%-90%	85%–90%	85%–90%	85%–90%
▪ Postgraduate Students: 90%–95%	91%	90%-95%	90%–95%	90%–95%	90%–95%
▪ International Students 80%–85%	84%	80%-85%	80%–85%	80%–85%	80%–85%
▪ Māori Students	77%	>77%	>77%	>77%	>77%
▪ Pasifika Students	65%	>65%	>65%	>65%	>65%
▪ Students with a Disability	77%	>77%	>77%	>77%	>77%

Performance Measure 1.2

Objective ▶ To meet the needs of stakeholders in the Auckland Region by achieving the student enrolment targets negotiated with the TEC.

Contribution to TES Key Shifts 3 & 4

TES/STEP ▶ STEP Priority 4

⁶ The completion rates given here reflect the MoE formula [Pass ÷ (Pass + Fail + Did Not Complete + Withdrawn)]

CSF 2 • TO CONSOLIDATE OUR HIGHER EDUCATION CONTRIBUTION

Performance Measure 2.1

Objective ▶ To increase the percentage of students studying in higher education programmes to at least 75% of all EFTS.

Contribution to TES Key Shift 2
TES/STEP ▶ STEP Priority 1

Key Performance Indicator

	Actual 2006	YTD 2007	Target 2008	Target 2009	Target 2010
To increase the percentage of students studying in higher education programmes to at least 75% of all EFTS.					
▪ Overall ⁷	63%	67%	70%	73%	75%
▪ Domestic ⁸	64%	67%	70%	73%	75%
▪ International ⁹	69%	77%	79%	80%	80%

Performance Measure 2.2

Objective ▶ To increase the percentage of students progressing into higher level qualifications.

Contribution to TES Key Shift 2
TES/STEP ▶ STEP Priority 1

Key Performance Indicator

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To increase the percentage of students progressing from pre-degree ¹⁰ into higher level qualifications.	35%	40%	>40%	>40%	>40%

⁷ Overall EFTS exclude International Exchange and Non Categorised EFTS.

⁸ Domestic EFTS comprise Domestic Ministry Funded EFTS (excluding Non Categorised EFTS).

⁹ International EFTS comprise International Ministry Funded and International MOE Research EFTS (excluding Non Categorised EFTS).

¹⁰ Pre-degree data excludes enrolments in non-staircasing pre-degree programmes.

Performance Measure 2.3

Objective ▶ To review the University's contribution within the network of tertiary education provision in Auckland Region.

Contribution to
TES/STEP ▶ TES Key Shifts 1, 3, 4 & 5

Performance Measure 2.4

Objective ▶ To increase links to provide opportunities for students from other sub-sectors to progress into higher education.

Contribution to
TES/STEP ▶ TES Key Shift 2
STEP Priority 1

THEME 2: AUT UNIVERSITY WILL CONDUCT EXCELLENT RESEARCH, ADVANCING KNOWLEDGE AND PRACTICE IN ITS AREAS OF EXPERTISE AND SUPPORTING ITS HIGHER EDUCATION PROGRAMMES.

Research is a key theme in the establishment of AUT's reputation and functioning as a University.

CSF 3 • TO ENHANCE OUR RESEARCH REPUTATION

Performance Measure 3.1

Objective ▶ To increase the proportion of academic staff on terms and conditions conducive to conducting research.

Contribution to TES Key Shift 5

TES/STEP ▶ STEP Priority 4

Performance Measure 3.2

Objective ▶ To graduate an increasing proportion of doctoral and research master students each year.

Contribution to TES Key Shifts 3, 4 & 5

TES/STEP ▶

Key Performance Indicators

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To increase the number of doctoral and research masters students graduating as a proportion of total doctoral and research masters student enrolments.	19%	20%	22%	24%	26%
To increase the number of doctoral and research masters completions.	158	145	*	*	*

* This is a relative benchmark and therefore no specific targets have been set for 2008–2010.

Performance Measure 3.3

Objective ▶ To increase external research revenue to 10% of external revenue.
Contribution to TES Key Shifts 4 & 5
TES/STEP ▶ STEP Priority 4

Key Performance Indicator

	Actual 2006	Budget 2007	Target 2008	Target 2009	Target 2010
To increase external research revenue ¹¹ .	\$9.3M	\$13M	\$15M	\$18M	\$21M
Annual external research revenue as a percentage of total external revenue.	4.5%	6.2%	6.4%	7.3%	8.1%
To increase the number of successful applications to contestable research funds each year.	75	90	100	110	120

Performance Measure 3.4

Objective ▶ To increase the number of research outputs by 10% each year.
Contribution to TES Key Shift 5
TES/STEP ▶ STEP Priority 4

Key Performance Indicator

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To increase the number of research outputs by 10% each year.	1,678	1,846	2,031	2,234	2,457

¹¹ Includes Performance Based Research Fund (PBRF) funding.

CSF 4 • TO ENHANCE OUR INTERNATIONAL REPUTATION

Performance Measure 4.1

Objective ▶ To increase the percentage of international students studying in postgraduate programmes.

Contribution to TES Key Shift 3

TES/STEP ▶

Key Performance Indicator

	Actual 2006	YTD 2007	Target 2008	Target 2009	Target 2010
Percentage of international students in postgraduate programmes (EFTS).	15.5%	20.1%	>20%	>20%	>20%

Performance Measure 4.2

Objective ▶ To expand international collaborative relationships that enhance the University's profile.

Contribution to TES Key Shift 5

TES/STEP ▶

CSF 5 • TO SUSTAIN THE QUALITY AND RELEVANCE OF OUR CURRICULUM

Performance Measure 5.1

Objective ▶ To maintain a minimum of 90% of our graduates in employment or further study six months after graduating.

Contribution to TES Key Shifts 4 & 5

TES/STEP ▶

Key Performance Indicator

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To achieve a rate of 90% of University graduates in employment or further study six months after graduating. ¹²	95%	90%	90%	90%	90%

Performance Measure 5.2

Objective ▶ To ensure processes in new programme development and programme review maintain formal stakeholder representation.

Contribution to TES Key Shifts 1, 2, 4 & 5

TES/STEP ▶ STEP Priority 4

Performance Measure 5.3

Objective ▶ To ensure that each major discipline area has an industry advisory committee.

Contribution to TES Key Shifts 1, 2, 4 & 5

TES/STEP ▶ STEP Priority 4

Performance Measure 5.4

Objective ▶ To ensure each Research Institute has a development board whose membership includes external stakeholders.

Contribution to TES Key Shifts 1, 2, 4 & 5

TES/STEP ▶ STEP Priority 4

¹² As per the New Zealand Vice-Chancellors' Committee (NZVCC) Graduate Destination Survey.

THEME 3: AUT UNIVERSITY WILL ACTIVELY ENGAGE WITH THE COMMUNITIES IT SERVES, AND CONTRIBUTE TO THEIR SOCIAL AND ECONOMIC DEVELOPMENT.

CSF 6 • TO ENSURE THAT THE STAFF AND STUDENT PROFILE BETTER REFLECTS THE POPULATION WE SERVE

Performance Measure 6.1

Objective ▶ To ensure the University's student and staff profiles better reflect the demographic mix of the Auckland Region.

Contribution to TES Key Shifts 1 & 2

TES/STEP ▶ STEP Priority 1

Key Performance Indicators

	Regional Proportion	Actual 2006	YTD 2007
To ensure the University's domestic student profile better reflects the demographic mix of the region. ¹³			
▪ Māori	9.2%	8.8%	8.7%
▪ Pasifika	11.2%	9.5%	9.9%
▪ European	52.3%	44.8%	42.8%
▪ Asian	19.5%	25.8%	26.7%
▪ Non Declared/Other	9.8%	11.1%	11.9%
To ensure the University's staff profile better reflects the demographic mix of the region. ¹⁴			
▪ Māori	9.2%	6.8%	6.9%
▪ Pasifika	11.2%	4.9%	4.8%
▪ European	52.3%	68.8%	67.8%
▪ Asian	19.5%	13.5%	13.9%
▪ Non Declared/Other	9.8%	6%	6.6%

Note: Regional ethnic proportions are based on 2006 Census results (Statistics New Zealand), and have been adjusted to capture the 15-64 age range. Statistics New Zealand ethnicity reporting allows people to claim more than one ethnicity, meaning the percentage totals usually add up to more than 100%. AUT student and staff data each total to 100 per cent, meaning comparison of Statistics New Zealand and AUT data is indicative – and not completely accurate.

¹³ Actual 2006 and YTD 2007 student proportions comprise distinct student (headcount) effective (PIWN status) enrolments of domestic ministry funded students in the age range 15 – 64 years.

¹⁴ Actual 2006 and YTD 2007 staff percentages are based on the numbers of Full Time Equivalent staff.

Performance Measure 6.2

Objective ▶ To ensure that course completion rates for students aged under 25 enrolled in qualifications at degree level and above are equal to or above the university sub-sector average.

Contribution to TES/STEP ▶ TES Key Shift 2
STEP Priority 1

Key Performance Indicator

	Actual 2004	Actual 2005	Actual 2006
To ensure that course completion rates for students aged under 25 enrolled in qualifications at degree level and above are equal to or above the university sub-sector average. ¹⁵			
▪ AUT University	86%	86%	86%
▪ University sub-sector average	83%	84%	84%

Performance Measure 6.3

Objective ▶ To increase the proportions of Māori and Pasifika EFTS in higher education programmes.

Contribution to TES/STEP ▶ TES Key Shift 2
STEP Priority 1

Key Performance Indicators

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To increase the percentage of Māori EFTS (as a proportion of Total Māori EFTS) enrolled in higher education programmes. ¹⁶	67%	69%	71%	73%	75%
To increase the percentage of Pasifika EFTS (as a proportion of Total Pasifika EFTS) enrolled in higher education programmes. ¹⁷	49%	51%	53%	55%	57%

¹⁵ Data for this KPI has been sourced from the Baseline Monitoring Report: Auckland University of Technology, June 2007. The Baseline Monitoring Report (BMR) measures successful course completion as the total number of course enrolments that are completed successfully divided by the total number of course enrolments with known results [successful completions, unsuccessful completions and enrolments that did not complete].

¹⁶ Total EFTS figures exclude Non Categorized EFTS.

Performance Measure 6.4

Objective ▶ To increase course completion rates for higher education qualifications amongst Māori and Pasifika students.

Contribution to TES/STEP ▶ TES Key Shift 2
STEP Priority 1

Key Performance Indicator

	Actual 2006	YTD 2007	Target 2008	Target 2009	Target 2010
To increase the successful course completion rates for higher education qualifications amongst Māori and Pasifika students. ¹⁸					
▪ Māori	76%	73%	>73%	>73%	>73%
▪ Pasifika	72%	69%	>70%	>70%	>70%

Performance Measure 6.5

Objective ▶ To increase the proportion of EFTS for domestic students aged under 25 enrolled in higher education qualifications.

Contribution to TES/STEP ▶ STEP Priority 1

Key Performance Indicator

	Actual 2006	YTD 2007	Target 2008	Target 2009	Target 2010
Domestic under 25 students to comprise 70% or more of total domestic higher education EFTS.	70%	71%	70%	70%	70%

¹⁷ Total EFTS figures exclude Non Categorised EFTS.

¹⁸ This KPI utilizes the BMR successful course completion formula described in footnote 14.

THEME 4: AUT UNIVERSITY WILL ATTRACT, DEVELOP AND RETAIN EXCELLENT STAFF.

- CSF 7** • **TO ENSURE THAT OUR PEOPLE ARE INSPIRED BY, AND CONTRIBUTE TO, THE ACHIEVEMENT OF OUR MISSION**

Performance Measure 7.1

Objective ▶ To develop staff capability and achieve consistently high levels of staff satisfaction.

Contribution to TES Key Shift 5

TES/STEP ▶

Key Performance Indicators

The objective will be reported against both qualitative and quantitative data including, but not limited to, the following quantitative KPIs.

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
To maintain a staff development budget equivalent to 1.5% of gross salaries.	1.5%	1.5%	1.5%	1.5%	1.5%
To ensure the average turnover of staff is maintained within the following ranges: 4–6% academic staff, 10–14% for allied staff.					
▪ Academic staff	4.6%	4-6%	4-6%	4-6%	4-6%
▪ Allied staff	11.2%	10-14%	10-14%	10-14%	10-14%

THEME 5: AUT UNIVERSITY WILL ENSURE ITS SUSTAINABILITY THROUGH GOOD MANAGEMENT, STRONG PERFORMANCE AND REPUTATION.

CSF 8 • TO IMPROVE THE PHYSICAL INFRASTRUCTURE OF THE CAMPUS

Performance Measure 8.1

Objective ▶ To develop and implement a ten year campus development plan.

Contribution to TES Key Shift 5

TES/STEP ▶

Key Performance Indicator

Capital Development Programme	Actual 2006 (\$'000's)	Expected 2007 (\$'000's)
Studio Building	292	
Business Building/Land	301	
Lecture Theatres –City Campus	2,412	
Nursing Facilities Upgrade	1,098	
Lecture theatres – North Shore Campus		2,500
School Art & Design Upgrade		5,000
Dadley Building		6,900
Total	4,103	14,400

Note: The capital development plan is still under development and will be influenced significantly by the Government's positive response to AUT's Capital Injection request. Details for 2008-2010 are being developed in negotiation with TEC.

CSF 9

• TO BE A HIGH PERFORMING ORGANISATION

Performance Measure 9.1

Objective ▶ To ensure that the University is operating effectively and efficiently.

Contribution to TES Key Shift 5

TES/STEP ▶

Key Performance Indicators

	Actual 2006	Expected 2007 (\$'000's)	Target 2008 (\$'000's)	Target 2009 (\$'000's)	Target 2010 (\$'000's)
To increase revenue per academic FTE	\$218,854	\$227,800	x	x	x
To increase equity per EFTS	\$11,071	\$11,082	x	x	x
To maintain an effective balance between academic and administrative costs:					
▪ Ratio of academic to allied staff	1:0.9	1:0.9	1:0.9	1:0.9	1:0.9
▪ Ratio of students to academic staff ¹⁹	16.7:1	16.0:1	x	x	x

Note: The targets for 2008 and beyond are dependent on the outcome of current negotiations with TEC

¹⁹ Total student EFTS/total FTE academic staff

CSF 10 • TO ENSURE FINANCIAL VIABILITY

Performance Measure 10.1

Objective ▶ To meet appropriate financial ratios.

Contribution to TES Key Shift 5

TES/STEP ▶

Key Performance Indicator

	Actual 2006	Target 2007	Target 2008	Target 2009	Target 2010
Ratio 1: Minimum net surplus/external revenue %	2.2%	3.75%	x	x	x

Note: The targets for 2008 and beyond are dependent on the outcome of current negotiations with TEC