



**THE UNIVERSITY  
OF AUCKLAND**

**NEW ZEALAND**

Te Whare Wānanga o Tāmaki Makaurau

# **Strategic Plan 2013–2020**

Approved by Council 20.08.2012

# The University of Auckland Strategic Plan 2013–2020

## Contents

|  |    |
|--|----|
| Introduction .....   | 1  |
| Our Aspirations .....  | 2  |
| Realising our Aspirations .....  | 3  |
| Accomplished and well supported staff .....                                    | 3  |
| Able students, successful graduates and alumni .....                           | 5  |
| High quality research that benefits society .....                              | 10 |
| Treaty of Waitangi /Te Tiriti o Waitangi partnerships for mutual benefit ..... | 12 |
| Strong partnerships with key organisations and communities .....               | 13 |
| A sustainable, autonomous University .....                                     | 14 |
| A public University of global standing .....                                   | 20 |
| Mission and Values.....  | 22 |

## Introduction

The future well-being and development of New Zealand is dependent upon the skills and capabilities of our people. Research-led universities will play a pivotal role in enabling this future. Most developed countries, and many developing countries, value highly their leading research universities and invest heavily in their enhancement. They understand that outstanding graduates will go on to have a positive impact in their communities and that research contributes to social, economic and environmental development. They recognise that opportunities created for under-represented communities to access the benefits of higher education and the provision of independent public comment on issues of importance to society lead to appreciable benefits across society. And they appreciate that universities foster international relationships through research and education, and provide a substantial public infrastructure in order to maintain and strengthen their institutions.

The University of Auckland is ranked internationally as New Zealand's leading university and among the top six to eight universities in Australasia. Established in 1883 as a constituent college of the University of New Zealand, placing the advantages of a university education "within the reach of every man and woman of Auckland"<sup>1</sup>, it is now a large, comprehensive public university, grounded in its civic roots in New Zealand's most diverse city. Much of its special character is conferred by the University's and the nation's place in the Pacific, by our acknowledgement of the principles of the Treaty of Waitangi, and by the achievements of our predecessors. The University's Council, staff, students, alumni, benefactors, and friends are committed to the ideal of the University as an internationally distinguished community of scholars, upholding academic freedom and institutional autonomy, and dedicated to critical inquiry and intellectual discourse, to scientific discovery and a sustainable future, to social and cultural development, to social justice and equity, and to innovation and wealth creation.

The University's leading position in New Zealand has been achieved by the efforts and excellence of its people, past and present. However, no university in New Zealand is ranked among the top 50 in the world. Our ongoing challenge is therefore to ensure that New Zealand has a major international university, providing a learning environment of the highest quality, leading the advancement of knowledge creation and dissemination, intellectual discovery and innovation, and taking our place on the global stage as a valued peer of the best public civic universities. Such an institution will create significant benefits for Auckland and New Zealand, and will help to ensure that our wider university system continues to be recognised internationally.

The University of Auckland is well placed to respond to this ongoing challenge. Our extensive global research linkages, the international focus of our staff, the demanding entry standards required by our programmes, our high numbers of top-quality undergraduate and postgraduate students, and our numerous international degree accreditations, coupled with innovative developments in infrastructure, reflect our strengths and the ways in which we continue to improve the quality of our institution.

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<sup>1</sup> *Sir William Jervois, Governor of New Zealand, speaking at the opening of the College (1883)*

These improvements and our aspirations to be even better come at a price, yet investment in New Zealand universities relative to that of our international peers is very low. In addition, those who invest in universities increasingly seek to ensure that they receive value from their investment. Satisfying this demand presents real challenges, partly because the impact of university activities typically requires medium to long time periods (e.g. the lifetime benefit of earning a degree) and partly because many benefits are not easily measured (e.g. the impact of a new technology or research-informed policy that becomes pervasive throughout society). It is nevertheless clear that the “impact agenda”, the desire to see that investment in the universities has a demonstrable impact on society, will be an important element of public policy and private investment over the life of this Strategic Plan and beyond. It is also clear that, given our very low levels of funding relative to that of peer institutions internationally, focussing our resources on achieving The University of Auckland’s aspirations while retaining our adherence to the core values of a university will continue to be a significant challenge.

Our previous Strategic Plan, for the period 2005–2012, focused on the development of an integrated planning process and on ambitious goals related to internationalisation, teaching and learning, research and service. Considerable progress was made in: limiting growth in student numbers while enhancing the quality of our entry cohort and continuing to focus on equity of access; growing the graduate programme; creating an environment that supports enhanced research performance among staff; and diversifying our revenue streams, particularly in the areas of external research income and philanthropy. Other objectives – for example, increasing our proportions of Māori and Pacific students and staff, and raising the international rankings of the University - remain challenging.

In this Strategic Plan, which covers the period 2013–2020, it is our intention to build on the achievements of the 2005–2012 period by focusing on the creation of an environment in which highly talented people can flourish. We thus identify key aspirations for the University and its people – its students, staff, Council, alumni and friends - strategic objectives arising from these aspirations<sup>2</sup>, a series of actions necessary to pursue the objectives and a number of measures to track our progress. Where appropriate those measures relating to students and staff will be reported overall and by the University’s equity groups. Our overarching goal remains the same: we want to ensure that The University of Auckland is one of the world’s leading public universities.

## **Our Aspirations**

The University of Auckland aspires to:

- Be a community of highly accomplished and well supported academic and professional staff
- Attract students of high academic potential and give them an outstanding university experience so that they become successful and influential graduates and loyal alumni
- Benefit society by conducting and applying research of the highest quality
- Benefit Māori and the University through partnerships that acknowledge the principles of the Treaty of Waitangi

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<sup>2</sup> Objectives are generally expressed as a target to be achieved by 31 December 2020.

- Develop strong partnerships with key organisations and communities, nationally and internationally
- Adhere to our core values and remain an autonomous, sustainable, equitable organisation
- Be a public university of global standing that serves New Zealand, is distinctive and reflects our place in the Asia/Pacific region

## **Realising our Aspirations**

### **Accomplished and well supported staff**

Our aspirations will be achieved only through a community of staff who are inspired by and committed to the University's goals and motivated to contribute as much as they can to the University of which they are a part, according to their professional and personal circumstances. This will require academic and professional staff who are:

- passionate about teaching and learning, conducting research, supervising and supporting an increasingly diverse, demanding and technologically sophisticated student body, helping students to prepare for a world that cannot be foreseen
- committed to creating an equitable environment for all students and staff as a means of achieving excellence
- committed to securing new sources of revenue and investment from external parties to support staff in a range of academic activities and strengthen the University's financial base
- committed to providing the high quality infrastructure and services needed to support outstanding teaching, learning, research and community service
- enthusiastic about contributing to The University of Auckland, enhancing its place as a peer of the best public research-led universities in the world.

**Objective 1: A work environment characterised by a commitment to clear expectations, development of potential, inclusiveness, high achievement and rewarding performance**

We have to use innovative employment practices to attract and retain outstanding academic and professional staff from New Zealand and internationally. We need to provide staff with an environment that develops and rewards their talents, and is flexible in giving due recognition to their personal, family and community responsibilities. These things must be achieved in the face of intense national and international competition for staff. The combination of constrained revenues and cost pressures means that it will continue to be very difficult to recruit and retain well-established staff and to provide the opportunities for early career staff that are necessary to develop the next generation of top class academic and professional staff. However, we will be better placed to do this as the University becomes more successful through the achievements of its staff.

**Measures:**

- Student: academic staff ratio\*<sup>3</sup>
- Academic: Professional staff ratio\*
- Postgraduate (Taught) EFTS<sup>4</sup> per Academic Full-Time Equivalent (AFTE)
- Postgraduate (Research) EFTS supervised per research-active AFTE
- Doctoral EFTS supervised per research-active AFTE
- Peer-reviewed publications per AFTE\*\*<sup>5</sup>
- Citations per AFTE\*\*
- Total revenue per AFTE\*
- Number of prestigious awards held by staff\*
- Number of national teaching excellence awards held by staff\*
- Proportions of equity group staff in academic and professional positions by seniority\*

**Key actions:**

- Use innovative employment practices to recruit and retain high performing academic and professional staff, including those from diverse backgrounds
- Develop a reputation as a workplace that reflects and signals our commitment to equity in employment
- Ensure that all staff have clear performance expectations aligned to their roles and to their prospects of career development in the context of the University's strategy
- Ensure that all staff have effective and regular performance feedback that links to reward, recognition and future development planning
- Ensure that the work environment is sufficiently flexible to accommodate the diverse personal circumstances of staff and support high performance
- Develop staff skills in how to work successfully in a diverse, multicultural environment
- Enhance research-informed staff equity initiatives to enable talented staff to succeed

**Objective 2: An outstanding staff experience where success is celebrated and high levels of engagement achieved**

Positive, collegial workplace relationships and high levels of staff engagement benefit staff and the University. Organisations with highly engaged staff have higher levels of organisational performance, lower costs associated with attrition and greater effectiveness in attracting new employees through staff advocacy. Staff engagement measures the commitment of employees to their workplace – the extent to which they are prepared to put in discretionary effort in their job, their commitment to staying with the organisation and their willingness to recommend it as a good place to work.

**Measures:**

- Proportion of staff positive about engagement in staff surveys

**Key actions:**

<sup>3</sup> KPIs used to support the Strategic Plan 2005–2012 are asterisked.

<sup>4</sup> Equivalent Full-Time Students

<sup>5</sup> Double asterisked KPIs to be developed for introduction in 2014

- Enhance staff engagement through regular staff surveys and other mechanisms that encourage staff to provide feedback on their work environment
- Ensure that communication with staff operates on a two-way basis and encourages involvement of staff in decision-making
- Develop and reward those with excellent management capabilities
- Improve the induction and orientation experience for new staff
- Enhance staff equity initiatives to enable talented staff to succeed
- Provide career development opportunities and practices that support the aspirations of staff
- Celebrate the successes of staff.

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| <p><b>Objective 3: An environment in which distributed leadership is developed and valued</b></p> |
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As a complex and highly devolved organisation, the University relies on staff providing excellent leadership in relation to a number of activities, academic and administrative, in all parts and at all levels of the organisation ("distributed leadership"). It is also important to the University's role as a leading public organisation that staff provide leadership in their professional capacities outside the University and to the wider community, nationally and internationally.

**Measures:**

- Proportion of staff positive about leadership in staff surveys

**Key actions:**

- Develop a clear understanding of leadership expectations at all levels in the University
- Embed leadership expectations in processes for appointment of staff
- Determine professional development needs of those progressing to leadership roles and invest in appropriate leadership development opportunities
- Ensure that leadership achievements are appropriately rewarded and that taking on leadership roles enhances career development
- Ensure that achievements in leadership within and external to the University are celebrated.

**Able students, successful graduates and alumni**

The most significant impact we have on society results from the enhanced capabilities of our graduates. As a university of international standing we must be committed to advancing learning and developing intellectual independence across a comprehensive portfolio of academic programmes, from undergraduate through to advanced postgraduate research. The education we offer must draw on cutting-edge knowledge, integrate teaching and learning with the research strengths of staff, make the best use of new teaching, learning and information technologies, challenge and excite students, and enable them to achieve the graduate profile appropriate to their area and level of study.

By attracting students of high academic potential and providing them with an outstanding university experience, both educational and extracurricular, we will help

them to become successful and influential graduates and alumni who are a positive force in the world of the future.

**Objective 4: A diverse student body of the highest possible academic potential**

Leading universities must attract students who have high academic potential, are prepared for university study, have the ability to take advantage of degree study involving critical thinking, problem solving, and research-based teaching, and a desire to learn and be challenged intellectually.

Our objective of attracting students of high academic potential must be achieved in ways that combine the pursuit of excellence and equity, recognising that applicants do not all have the same opportunity to exhibit their innate ability before they enter university. If the impediments to successful participation in the University can be addressed – and many of them are being addressed by the University – then the positive impacts that can be created for one generation of students will carry through to the next generation and beyond. Our research is therefore just as important in helping us to understand how these barriers can be overcome as the programmes intended to remove those barriers.

The majority of New Zealand's population growth is expected to occur in Auckland, and much of it will be of Māori, Pacific and Asian peoples. The student body is also becoming more diverse in other ways including the increasing profile of students with disabilities and an increasing disparity in income and social equality. All these changes create the challenges and opportunities of working with different intellectual traditions and different bodies of experience to create an environment that is attractive to all students of high academic potential. This environment will be supported by inclusive teaching, learning and research that adds value to diverse communities.

**Measures:**

- Proportion of school leavers entering with a GPE >5 \*<sup>6</sup>
- Proportions of domestic students from equity groups at undergraduate and postgraduate levels
- Numbers of students successfully transitioned into University through student equity support initiatives \*\*

**Key actions:**

- Ensure that the characteristics, aspirations and expectations of the students of high academic potential we wish to attract to and retain within the University are well understood
- Ensure that our processes for promoting the University to such students and for securing their interest and enrolment in the University respond to their needs and are based on sound research
- Ensure that we provide the kind of environment, both academic and extracurricular, that is particularly attractive to students of high academic potential

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<sup>6</sup> Grade Point Equivalent (GPE) is a 0 – 9 scale assigned to commencing students on the basis of grades achieved in previous study

- Identify students of ability whose personal circumstances limit their opportunity to access and succeed at University and assist them to overcome those barriers through a co-ordinated, research-informed suite of support programmes.

**Objective 5: A student body growing at 1% per annum with increased proportions of international, postgraduate taught and postgraduate research students**

Leading comprehensive research-intensive universities have a greater focus on postgraduate education and research than other types of institution. The University of Auckland, though, has higher proportions of undergraduate students, similar proportions of research postgraduates, and lower proportions of taught postgraduate students than do leading universities such as those in the Australian “Group of Eight” (Go8). Auckland also has an appreciably lower proportion of international students than the average for the Go8 and other top universities. The difference is most marked for taught postgraduate programmes which generate significant resources that can be used to support more costly research postgraduate programmes. A key component of this Plan is therefore to move to a student body that better aligns with that typically seen at leading peer research-intensive universities.

**Measures:** The following targets\*

|   | Domestic |      | International |      | Total  |        |
|---|----------|------|---------------|------|--------|--------|
|   | 2011     | 2020 | 2011          | 2020 | 2011   | 2020   |
| Undergraduate and other (%)             | 71       | 65   | 9             | 10   | 80     | 75     |
| Postgraduate taught (%)                 | 11       | 11   | 1             | 5    | 12     | 16     |
| Postgraduate research excluding PhD (%) | 2        | 2    | 0             | 1    | 3      | 3      |
| PhD (%) <sup>7</sup>                    | 3        | 4    | 2             | 2    | 5      | 6      |
| Total (%)                               | 88       | 82   | 12            | 18   | 100    | 100    |
| Total EFTS                              |          |      |               |      | 32,193 | 35,400 |

**Key actions:**

- Enhance the University’s international rankings and reputation so as to make us more attractive to domestic and international postgraduate students
- Develop taught postgraduate programmes that are competitive internationally to enable growth in this segment of our academic activities
- Ensure that our systems and processes are aligned at all levels of the University to recruit and retain the desired profile of students
- Support and encourage Honours and masters students to progress to higher research degrees
- Set clear targets for faculties to contribute to the University’s attainment of the desired student profile.

<sup>7</sup> Data reflect student citizenship not funding (all international PhD candidates are currently funded and charged tuition fees as if they were domestic students).

**Objective 6: A substantial increase in annual completions of taught masters, research masters and doctorates**

As the major national centres of higher education, universities have a particular role in graduate education. As the largest and highest ranked research university in the country, The University of Auckland has a pre-eminent place in this regard. The number and achievements of our masters and doctoral graduates have a significant bearing on the University's reputation and ranking, and on our contribution to society. Since holders of postgraduate degrees occupy many influential roles in the public and private sectors, postgraduate degree completions are important measures of the University's wider social and economic impact. Our success in recruiting postgraduate students should thus be matched by significant improvement in the rate at which students complete postgraduate degrees.

**Measures:** The following targets\*

| Completions (headcount)       | 2011 | 2020  |
|-------------------------------|------|-------|
| Taught masters                | 587  | 1,250 |
| Research masters <sup>8</sup> | 854  | 1,100 |
| Doctorates                    | 322  | 500   |

**Key actions:**

- Enhance processes for training supervisors and allocating students to them so as to maximise the quality of supervision and probability of student success
- Provide students with clear expectations as to the scope and duration of their studies
- Support research postgraduate students (e.g. via scholarships and research resources) to ensure that they complete their programmes within the allotted time.

**Objective 7: A high quality learning environment that maximises the opportunity for all our students to succeed and provides them with an inclusive, intellectually challenging and transformative educational experience**

Our reputation with students, their parents and families, and our communities rests significantly on the quality of our teaching and learning. We expect our graduates to be independent and critical thinkers, open to new ideas, possessing intellectual curiosity and integrity, and to have a mastery of a body of knowledge and professional skills. They should be able to use information discerningly, to show tolerance and an understanding of diverse value systems and views, and to have the potential and the wish to contribute in a leadership role to national and global intellectual, social, scientific, economic and cultural development.

Through the creation and maintenance of a curriculum that reflects New Zealand and its distinctive place in the Asia-Pacific region, as well as embedding diverse international and intercultural perspectives, we can prepare our students to be citizens of the world. By encouraging New Zealand students to benefit from

<sup>8</sup> Research masters include all theses of 90 points or more and taken as part of a masters or honours degree.

international experiences, and international students to experience our distinctive learning environment, we bring different insights into our classrooms, drive innovation in learning and research, and ensure our society remains open to the experience of other countries.

**Measures:**

- Course completions\*
- Qualifications completions\*
- Outcomes of student satisfaction and engagement surveys (academic)\*
- The number of degrees accredited by professional associations/accreditation bodies\*
- Investment in the learning environment\*

**Key actions:**

- Ensure that we have graduate profiles which clearly lay out the desired attributes of graduates and the value that students will obtain from their studies
- Ensure that our curricula reflect the relevant graduate profiles and deliver high quality programmes that meet national needs and international standards in an efficient manner
- Promote and support research-informed innovation in teaching and learning that enhances student achievement and engagement and increases student retention and success
- Enrich teaching, learning and outreach activities by drawing on international best practice in the use of new technologies
- Ensure that teaching quality and productivity are key attributes evaluated when academic staff are employed, continued or promoted
- Provide all students with the opportunity at each level of study to interact with senior staff and researchers and ensure that they gain the educational benefits of research-informed and research-based teaching and learning
- Encourage the integration of international experience into the curriculum through exchange and study abroad programmes and provide opportunities so that at least 25% of students have participated in international learning and research opportunities by the time they graduate
- Develop a co-ordinated, research-informed suite of programmes to support equity students to succeed in their studies at all levels in the University
- Develop objective measures and benchmarks of an outstanding teaching and learning environment and review University-wide performance against these measures and against peer universities on a regular basis.

**Objective 8: A distinctive, high quality extracurricular experience that maximises the value to our alumni of their university experience**

As well as achieving world-ranked qualifications, our students acquire increased independence, lifelong friends, a much broadened world view and – if we get it right – an enduring interest in and affection for their University. These are critical components of the student experience as a whole and we must be very aware of their importance not only to our students and future alumni, and to the communities they will serve, but also to the reputation and standing of the University. The ability to access University-supported accommodation and to participate in shared extracurricular activities is crucial to the engagement of students with the University

as well as to their academic success. Engagement will in turn lead to lifelong, reciprocal relationships with alumni that connect them to the University and to one another.

**Measures:**

- Outcomes of student satisfaction surveys (extracurricular)\*
- Outcomes of graduate destination surveys \*\*
- Proportions of graduates who have participated in international learning and research activities abroad and in New Zealand\*
- Alumni with whom the University is actively engaged\*
- Philanthropic support per alumnus\*\*

**Key actions:**

- Ensure that we have graduate profiles which clearly lay out the desired attributes of graduates and the value that students will obtain from their extracurricular, as well as their academic, university experiences
- Increase the provision of University-supported accommodation, particularly to first year undergraduate and international students
- Encourage activities and events that engage students in campus life, and in the unique cultural attributes of Auckland, New Zealand and the Pacific
- Collaborate with undergraduate and postgraduate student representatives as requirements for facilities and services that support the social, recreational, cultural and spiritual needs of students are determined
- Celebrate the successes of our alumni and the ways in which the University has enhanced their lives
- Actively engage with alumni to seek their financial, political and societal support for the University to benefit future generations of students.

## **High quality research that benefits society**

Research-intensive universities have a key role in creating and disseminating knowledge that has a positive social, cultural, economic and environmental impact. Indeed, the creation of knowledge is a key contribution of universities such as ours. As a comprehensive university we recognise the intrinsic value of knowledge and of diverse intellectual traditions. We are committed to research across all our disciplines and from the curiosity-driven to the very applied.

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| <p><b>Objective 9: A growing output of excellent research across all our disciplines</b></p> |
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High quality research on a large scale and across the full range of disciplines represented by our faculties and Large Scale Research Institutes is essential to ensure our place among the leading international research universities. It is also critical to our impact on and reputation among the many communities we serve. This recognition of research excellence will in turn support the recruitment and retention of high quality staff and students, and enhance New Zealand's international standing and connectedness.

**Measures:**

- Number of peer-reviewed research and creative outputs\*\*
- Proportion of publications authored jointly with international colleagues \*\*

- Public good research income (New Zealand and international)\*
- Private good research income (New Zealand and international)\*
- Success rates (proportion of available pool won) in national public good funds such as Marsden, Health Research Council, MBIE\*\*

**Key actions:**

- Ensure that research quality and productivity are key attributes evaluated when academic staff are employed, continued or promoted
- Invest in professional development activities that will enhance the quality and quantity of research performance across the University
- Ensure that the importance of maximising citations and impact is recognised across the University and is reflected in publishing behaviours
- Facilitate and reward high quality applications for external research income to support research activities
- Ensure that our infrastructure is appropriate for the support of research.

**Objective 10: Dissemination of high quality research that has the greatest possible impact on and value for New Zealand and the world**

It is important that the excellent research we conduct be disseminated appropriately and have impact, but also important to recognise that impact takes many forms: informing research-led education, both within the immediate discipline area and across subject areas; contributing to the body of knowledge that underpins each discipline; addressing the world’s major challenges, many of which require a multi-disciplinary approach; informing debate, assisting in policy formulation; enriching the cultural life and enhancing the well-being of the communities we serve; and supporting industry-facing commercial innovation that reflects both the nature of our industries today and the future economic development of our industries and of New Zealand.

**Measures:**

- Citations rates relative to international disciplinary norms \*\*
- Number of patents filed and licenses granted \*\*
- Number of industry internships or equivalent student placements\*\*

**Key actions:**

- Ensure that all degree and postgraduate programmes are led by staff who are active in research
- Facilitate development of excellent cross-disciplinary/transnational research teams to address questions of national and global significance
- Facilitate widespread dissemination of research and creative work of staff and students
- Enhance systems for improving access to the outputs of our research
- Engage proactively with key industry partners to ensure that we maximise opportunities to support their business development through commercialization and contract research, and through skills development via research degree students and placements
- Support mechanisms to facilitate access to university capabilities for priority sectors

- Regularly review industry trends and research needs and the capability of the University to respond to them
- Support staff in the acquisition of the skills needed to interact productively with the business sector
- Maximise synergies between the University and UniServices to ensure that barriers to commercialisation are minimised.

## **Treaty of Waitangi /Te Tiriti o Waitangi partnerships for mutual benefit**

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| <p><b>Objective 11: Partnerships in which the University and Māori work together to achieve their shared aspirations</b></p> |
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The University of Auckland has a strong history of developing partnerships with Māori which acknowledge the principles of The Treaty of Waitangi/Te Tiriti o Waitangi. Promoting Māori presence and participation in all aspects of University life, and encouraging teaching, learning, and research in a range of fields important to Māori is a particular focus for this Plan.

It is essential to the University and to the country that we maintain and strengthen our core of excellent Māori staff, provide programmes that attract Māori students and recognise their aspirations to participate fully within their chosen disciplines, and contribute to Māori intellectual and cultural advancement.

The University will place emphasis on the development of productive and mutually supportive partnerships with mana whenua, iwi Māori, and Māori organisations. We will develop relationships to identify shared aims and aspirations and to develop, implement, and monitor programmes which achieve those aims and aspirations.

### **Measures:**

- Proportions of Māori students\*
- Achievement of Māori students at all levels of study\*
- Proportions of Māori staff\*

### **Key actions:**

- Identify the University's key partnerships with Māori to advance shared aims and aspirations; develop, implement, monitor, and evaluate programmes to achieve mutual benefits
- Develop and implement policies and processes which promote Māori presence, participation, and achievement in all aspects of University life
- Promote and support excellent teaching, learning, and research for Māori intellectual, cultural and economic advancement across all relevant disciplines
- Develop and implement strategies to assist all staff and students to have a knowledge and understanding of The Treaty of Waitangi/Te Tiriti o Waitangi relevant to their disciplines
- Develop and implement policies and processes to improve Māori staff recruitment, promotion, reward, and retention
- Develop and implement strategies to improve Māori student participation, success, retention, and completion rates in all disciplines.

## **Strong partnerships with key organisations and communities**

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| <b>Objective 12: Strong relationships with key partners which have a positive impact on both parties</b> |
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An international, research-intensive university has many communities which contribute to and draw upon its research, teaching and ideas. Through such partnerships The University of Auckland serves its community and learns from and is challenged by the society of which it is a part. Extensive engagement of University staff and students with local communities has positive effects on academic performance, values, self-awareness, leadership, and career commitment to public service. As a public institution with strong civic roots, the University embraces its obligations to its region and the nation, and upholds its role as critic and conscience of society.

The University engages with a variety of communities. Central and local government are key partners, as are certain national and local employers and businesses. The compulsory education sector is the main source of our students and a key partner in our working towards attracting a diverse student body of high academic potential. The University's location in Auckland, the largest Pacific city in the world, both necessitates and provides opportunities for a particular relationship with Pacific peoples. The strengthening and deepening of relationships which will contribute further to the intellectual, social, economic and cultural advancement of Pacific peoples is an important component of the University's engagement with its communities. The fast-growing Asian populations also contribute to the diversity and vibrancy of the University and Auckland, and are becoming an increasingly important component of the University's academic life. The University must continue to strengthen its links with Asia, and enhance engagement with increasingly important Asian communities.

The University benefits from the political, intellectual and financial support of its many friends. Its alumni, of whom it is justifiably proud, have a strong stake and high level of interest in the University not just maintaining but continuing to enhance its national and international esteem. We also have a significant body of benefactors and friends who are not alumni but who are committed to the mission of The University of Auckland. These supporters constitute a particular and very important community with which we engage.

### **Measures:**

- Number of engaged alumni\*

### **Key actions:**

- Identify key partners with whom the university has or can develop strong relationships from within the very wide group of potential partners (including central government, local government, the compulsory education sector, Pacific communities, Asian communities, business communities, professional organisations, artistic and creative communities, partner universities)
- Work with those partners to identify shared aims and aspirations, and provide regular opportunities for engagement and dialogue
- Develop, implement and monitor programmes to achieve those shared aims and aspirations to the mutual benefit of all parties
- Make available the expertise of the University to key partners

- Keep partners well informed of the University’s strategic direction and performance, and give them the opportunity to play a part in its future development.
- Develop a comprehensive, University-wide alumni engagement programme.

## A sustainable, autonomous University

The success of research-intensive universities is determined by their degree of autonomy, by the quality of their people and by the ability of the institutions to resource and support their activities. That ability, and to some degree the institution’s autonomy, relies on ensuring that we have a sustainable organisation that will endure: despite the many challenges we face today, we cannot plunder the future in order to pay for the present. Thus while our present planning is focused on the period to 2020, the institution must be equipped to thrive long beyond that period.

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| <b>Objective 13: A growing and increasingly diversified revenue base to support our activities</b> |
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Internationally, there is a strong and unsurprising positive relationship between an institution’s revenue (and hence expenditure) per student and its international ranking. For the last three decades, though, New Zealand’s public policy environment has promoted increased participation in the university sector at a reducing per student cost. This policy has been at the expense of investment in the universities themselves. As a consequence, this country supports students, but not the institutions they attend, at a very high level. While this may promote access to university, it poses the single greatest threat to our ability to raise the quality and rankings of The University of Auckland. One of our key objectives, therefore, must be to grow our revenue (in total and per EFTS). In order to do that we must seek revenue sources whose growth is not constrained by the public policy environment in which we operate. Paramount among these is revenue from international education, research and philanthropy. At the same time we must ensure that resources are used as efficiently and effectively as possible in pursuit of our strategic goals.

**Measures:** The following targets<sup>9</sup>

|                                 | 2011<br>\$m | 2011<br>% | 2020<br>\$m | 2020<br>% |
|---------------------------------|-------------|-----------|-------------|-----------|
| <b>Revenue</b>                  |             |           |             |           |
| Government grants (teaching)    | 279         | 30        | 367         | 27        |
| Performance Based Research Fund | 77          | 8         | 78          | 6         |
| Domestic tuition fees           | 135         | 14        | 191         | 14        |
| Domestic public good research   | 162         | 17        | 284         | 21        |
| International tuition fees      | 71          | 8         | 150         | 11        |
| Domestic commercial research    | 60          | 6         | 114         | 8         |
| International research          | 18          | 2         | 35          | 3         |
| Revenue from philanthropy       | 11          | 1         | 15          | 1         |
| Service income                  | 92          | 10        | 100         | 8         |

<sup>9</sup> Numbers in this table are stated inclusive of inflation having regard to the nature of each particular revenue item

|                       |            |            |             |            |
|-----------------------|------------|------------|-------------|------------|
| Other revenue         | 28         | 3          | 13          | 1          |
| <b>Total Revenue</b>  | <b>933</b> | <b>100</b> | <b>1347</b> | <b>100</b> |
| EFTS                  | 32,193     |            | 35,400      |            |
| Total revenue \$/EFTS | 28,981     |            | 38,050      |            |

**Key actions:**

- Provide on-going national leadership in promoting evidence-based cases for higher levels of public investment in universities, more appropriately differentiated funding arrangements and appropriate annual indexation of funding levels
- Build private, public and political support for a level of investment in the University that allows it to be a major contributor to New Zealand and international society
- Actively seek revenue sources (e.g. international students, offshore research activities, philanthropy) that are not subject to New Zealand public policy constraints
- Ensure that, as far as is possible, all activities are fully funded and provide a margin for future investment in the University, and that any subsidies are explicit and strategically justified
- Make specialised expertise (e.g. in the commercialisation of intellectual property) easily accessible by University staff and postgraduate students and not unnecessarily duplicated within the organisation
- Ensure that key assets needed for research growth are enhanced to support generation of additional research revenue
- Ensure that all expenditure in the University contributes to its strategic objectives and that waste and duplication are eliminated.

**Objective 14: Deliver 1.5% of operating revenue from endowment income and current-use philanthropic gifts to provide broad and flexible support for future University initiatives**

The University has, over the period 2006-2012, run one of the most successful philanthropic campaigns in New Zealand history. Most of these have been current-use gifts (to be expended in a short period of time) and for support, primarily, of activities in Business and Medical & Health Sciences.

We need to maintain this level of “current-use” giving but also assist our supporters to build significant endowments in favour of the University. These endowment funds will support strategic initiatives across all our activities and will insulate the University against the constraints imposed by public policy. A target of 1.5% of operating revenue by 2020 will require \$20.2m of income from philanthropic gifts, ideally half from endowment funds of \$200m and the balance from current-use gifts.

**Measure:** Proportion of operating revenue derived from endowment income and current use gifts

**Key actions:**

- Secure support from foundations or trusts of which the University is a beneficiary for endowments totalling \$200m
- Develop campaign collateral to explain to potential donors the strategic importance of an endowment and of current use gifts
- Support senior fundraisers within the University to engage with donors and supporting foundations to secure gifts for the endowment as well as for current use purposes
- Ensure that all gifts of a discretionary nature are targeted towards support of the endowment

**Objective 15: An infrastructure of the highest quality possible to support our teaching, learning, research, and community engagement**

The infrastructural elements that support our core academic and administrative activities – buildings, grounds, plant, equipment, information systems, libraries – are also crucial enablers of our success. Although we have a substantial asset base (in the order of \$1.5 billion) the poor condition of many of those assets poses a real challenge. We have committed ourselves to a quality of refurbished and new buildings, and of investment in library collections, research and teaching equipment, commensurate with that of the Australian Group of Eight – a commitment that is appropriate in quality terms but nonetheless expensive. We must therefore ensure that we create and maintain infrastructure of an appropriate scope and quality and use it in the most efficient manner possible.

**Measures:**

- Space benchmarks\*
- Utilisation benchmarks\*\*
- Benchmarked expenditure on the Library\*

**Key actions:**

- Ensure that the University's capital planning is guided by appropriate benchmarks of the nature and extent of physical infrastructure provided by peer international universities and by innovations that lead the University to improve its international standing
- Ensure that all major capital expenditure maximises advancement of the strategic objectives of the University, is supported by quality business plans with clear identification of benefits, and ensures that infrastructure is used as efficiently as possible
- Ensure that all existing infrastructure is maintained and used as efficiently as possible
- Develop and maintain an information and communications strategy that supports access needs for teaching, learning and research, and that enables the University to gain strategic value from information to achieve international best practice in administration and decision support
- Continue investment in buildings, plant and equipment at an appropriate level, allowing for the proper maintenance of existing infrastructure and

- replacement of assets at the end of their useful lives, as well as growth in the level and scope of teaching and research activities
- Manage all teaching facilities and major items of research equipment (other than specialised, single-user facilities and equipment) on a basis that allows access to all potential users within the University, maximises the value of the asset to the University as a whole, and exploits any scope for the generation of revenue from the appropriate external utilisation of surplus capacity
  - Carry out post-completion evaluations of all major items of capital expenditure, including on-going evaluation of benefits against business plans, and ensure that the findings of each inform capital planning and future business plans for comparable projects.

**Objective 16: Sustainable practices to make more efficient use of resources and enhance our environmental performance**

The need to use resources efficiently intersects with our commitment to environmental sustainability. Our policies and practices must support the sustainability of the University both in a financial sense, through effective resource utilisation, and in creating an environment that our communities can enjoy and be proud of. Past experience indicates that we should be able to achieve further significant reductions in resource consumption and carbon dioxide emissions, despite continued growth of the University.

A strong commitment to leadership in sustainability must also be reflected in our teaching, research and service activities.

**Measures:** The following targets

|   | 2011 | 2020        |
|---|------|-------------|
| Energy consumption (kWh/m <sup>2</sup> GFA)     | 150  | 147 (-2%)   |
| Wastewater (m <sup>3</sup> /m <sup>2</sup> GFA) | 0.70 | 0.60 (-14%) |
| Paper (A4 reams/EFTS)                           | 3.70 | 3.07 (-17%) |
| Solid waste to landfill (m <sup>3</sup> /EFTS)  | 0.43 | 0.34 (-21%) |
| CO2 emissions (t CO2-e/EFTS)                    | 0.81 | 0.69 (-15%) |

Note: Energy consumption in buildings only; CO2 emissions as a result of energy consumed in buildings, waste disposed of to landfill and work-related air travel. GFA is Gross Floor Area

**Key actions:**

- Determine for each part of the University current performance in regards to target parameters
- Enhance the capacity of, and encourage staff and students within all faculties and service divisions to, participate in activities intended to achieve the targets including identifying and undertaking new activities that maximise uptake of sustainable practices across the University
- Regularly recognise and reward participants for innovation and excellence in sustainability and environmental performance improvement.
- Promote awareness of sustainability issues.

## **Objective 17: A safe and healthy environment**

We need to provide an environment that ensures safety and promotes health and wellness, both mental and physical. Our urban campuses pose unique challenges (e.g. traffic hazards) and some of our teaching and research activities, often undertaken off-campus in New Zealand and around the world, are potentially dangerous. We are also engaged in a massive building and refurbishment programme, often at sites that must continue to be occupied by members of our community. This poses unique challenges in health and safety. At the same time, we wish to promote a healthy work and social environment for the University so that all members derive maximum benefit from being a part of our community.

### **Measures:**

- Rates of accident and injury \*\*
- Self-assurance rating level

### **Key actions:**

- Enable continuous improvement through a systematic approach to health, safety and wellbeing (mental and physical) that includes setting specific objectives, establishing and supporting systems and programmes with regular training, review of progress and evaluation of outcomes
- Implement University-level awards to recognise Excellence in Health, Safety and Wellness
- Ensure that we minimise risks to students and staff operating off-campus
- Ensure that the University's emergency management and disaster recovery plans are up to date, well communicated and tested regularly
- Develop students as future health and safety leaders through excellent practices and effective communications
- Benchmark with peer institutions to ensure that our health and safety performance is at world class level.

## **Objective 18: High quality governance and management practices consistent with the mission and values of The University of Auckland**

As a strong and autonomous university, we must make sure that all our resources – time, money and capital facilities – are used in ways which will most aid the pursuit of the University's strategic goals. In doing so, we need to be aware of the particular characteristics of universities. The University needs to employ governance and management practices that are sensitive to, and supportive of, its mission and values. We seek to focus on the needs of students and staff, to benchmark with best practice, to follow processes of continuous improvement, and to manage risk appropriately. We seek to maintain these practices in a devolved, collegial and sustainable manner involving effective consultation with stakeholders. But we must also ensure that the right decisions are made in the right places and that we retain a sense of urgency in moving the University forward.

Academic freedom, which has no direct parallel in any other type of organisation, requires collegial decision-making structures and an exceptionally high degree of respect for the expertise and endeavour of each member of the institution. In order

to maintain an environment that guarantees academic freedom, the University must protect its autonomy, and its role as a critic and conscience of society.

To ensure its autonomy and viability, the University must maintain prudent financial management. Effective management of its finances is also necessary to continue to foster high quality learning and research outcomes, equity of access, and innovation in ways that are consistent with the efficient and environmentally sustainable use of scarce national resources.

**Measures:**

- Public commentary e.g. numbers of staff contributing\*\*
- TEC financial framework benchmarks

**Key actions:**

- Create and regularly review University-wide strategic and operational plans to provide co-ordination and focus for key strategic areas of activity
- Encourage co-ordination and co-operation across the University through a high level of transparency about faculty and service division strategic and operational plans
- Regularly review the progress of the University, faculties and service divisions against objectives and ensure that managers' planning and performance appraisals focus strongly on the performance against objectives of their unit
- Use the budgeting process to ensure that resources (both base budget and discretionary) are allocated to areas of greatest strategic value and effectiveness
- Devolve the necessary resources, accountability for their use, and delegated authority to the level where the expertise and most direct responsibility for operational plan implementation exists
- Ensure that all policies and procedures align with the strategic direction of the University
- Enable all parts of the University to identify relevant best practice in comparable institutions, both in New Zealand and internationally, and benchmark their own management practices and service delivery against best practice
- Implement continuous improvement processes across all support, service and administrative activities
- Ensure that all parts of the University actively meet the needs of those to whom they provide services, and that service delivery is client-focused, responsive, constructive, and helpful
- Operate effective risk management policies and processes, and associated monitoring arrangements, for the systematic identification, reporting and prudent management of risk in all areas of the University's activities
- Set budgets each year consistent with the University's long-term financial projections and the financial parameters outlined above, and in keeping with targets and the risk profile required by the Government
- Inform, enable and encourage participation in decision-making based on collegial practices and in the best interests of the University as a whole
- Ensure that staff are able to provide research and other services to external parties without compromising the institution's commitment to academic freedom and institutional autonomy.

## **A public University of global standing**

The achievement of the objectives outlined in this Strategic Plan will undoubtedly help us to realise our aspiration to be a leading public university of global standing. However, that aspiration cannot be achieved in isolation. We must also build strong partnerships with leading universities who share our commitment to excellence in research-led education. These relationships will help us to measure and advance our performance in an international context, and ensure that we are an integral part of the international community of leading public universities.

For a research-intensive university seeking to attract students, develop partnerships with leading universities in other countries, access research funding offshore and win the support of alumni and benefactors, external rankings provide an indication of quality and of claims to leadership in education and research. While our ambition must be to enhance our position, international ranking systems should not be followed slavishly. That said, they do indicate the key factors that determine international reputations, and tell us something about our relative positioning at any point in time.

We need to take a more strategic approach to determining which university partnerships and relationships are likely to be of most value to the University, to New Zealand, and to our selected partners. In practice, the University's benchmarks are the top tier of Australian universities, the Russell Group in the United Kingdom, the Canadian U15 group of research-intensive universities and the broad-based, civic universities that make up the international groupings within *Universitas 21*, the *Association of Pacific Rim Universities* and the *Worldwide Universities Network*. It is among these universities that we will evaluate our own success, seek innovation that will enhance our performance, and contribute to the development of others.

|   |
|---|
| <p><b>Objective 19: An international standing that places us in the top half of the groups of leading Australian, British and Canadian universities</b></p> |
|---|

As a public university of global standing we need to ensure that we are performing as close as possible to the standards and achievements of the leading public civic universities of the world. The Australian Group of Eight, the U.K. Russell Group and the Canadian U15 Group are the leading universities in their respective countries. They are parts of systems much like our own (in contrast, for example, to the more heterogeneous Association of American Universities) and are in the main public civic universities from whom comparable benchmarking data are available. Through the achievements projected by this Plan we will aim to be ranked among the top half of each of these groups, while retaining our links to other key partner universities around the world. To assist in this process we will identify 10-15 universities which in some or all key aspects are performing at a higher level than The University of Auckland. We will develop benchmarking information with those institutions to enable a set of peer comparative measures to be used over time to support enhanced performance. This enhanced performance will help us to maintain or improve our international ranking which will, in turn, impact on student recruitment, research partnerships and the willingness of alumni and friends to support the University.

### **Measures:**

- Rankings relative to Go8, Russell Group and U15 universities in the Times Higher and QS rankings

**Key actions:**

- Strengthen institutional relationships and partnerships with selected leading international universities from whom we can learn and to whom we can contribute
- Ensure through benchmarking with 10-15 peer institutions that our performance in teaching and learning, research, service, equity, leadership and management is at a level that ensures our place among the world's leading civic, public universities
- Promote collaborative arrangements and partnerships that support our objective of achieving outstanding performance, facilitate international collaboration and exchange, and consequently enhance our contribution to the international academic community.

## **Mission and Values**

The Mission of The University of Auckland is to be:

“A research-led, international university, recognised for excellence in teaching, learning, research, creative work, and administration, for the significance of its contributions to the advancement of knowledge and its commitment to serve its local, national and international communities.”

The Values of the University reflect a commitment to:

- Conserving, advancing and disseminating knowledge through teaching, learning, research and creative work of the highest standard.
- Creating a diverse, collegial scholarly community in which individuals are valued and respected, academic freedom is exercised with intellectual rigour and high ethical standards, and critical enquiry is encouraged.
- Placing a strong emphasis on serving our student body.
- Working to advance the intellectual, cultural, environmental, economic and social well-being of the peoples of Auckland and New Zealand.
- Recognising a special relationship with Māori under the Treaty of Waitangi.
- Providing equal opportunities to all who have the potential to succeed in a university of high international standing.
- Engaging with national and international scholars, educational and research institutions to enhance intellectual development, educational quality and research productivity.
- The development and commercialisation of enterprise based on its research and creative works.
- Providing high quality management marked by open, transparent, responsive, and accountable academic and administrative policies, practices and services.