



THE UNIVERSITY OF AUCKLAND

STRATEGIC PLAN 2005 – 2012



THE UNIVERSITY OF AUCKLAND

NEW ZEALAND

Te Whare Wānanga o Tāmaki Makaurau



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MISSION¹

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’.

VALUES

The University is committed 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.

¹ The University of Auckland Charter (2003)

STRATEGIC PLAN 2005 – 2012

FOREWORD

The University of Auckland Strategic Plan 2005-2012 was approved by Council in August 2005, following extensive discussion, analysis and consultation with staff, students, alumni, and other friends of the University. At the time of its adoption, it was agreed that it would be reviewed after one year, allowing the University time to reflect on the strategic direction and objectives contained within the Plan.

Twelve months after its adoption, the Strategic Plan has become embedded as the key document in the University's budget and planning processes. The strategic direction outlined within the Plan can be seen to be driving prioritisation and decision-making across many levels of the University. Progress has already been made against a number of the Plan's 20 objectives, with planning underway to advance the University further toward the targets and goals identified in the Plan. Accordingly, on 21 August 2006, Council re-confirmed the Strategic Plan 2005-2012, with one amendment, as a fitting statement of the University's strategic direction to 2012.

The Strategic Plan 2005 - 2012 is an ambitious and challenging articulation of our vision for The University of Auckland to take its place among the top 50 universities in the world. The challenges embodied in this Plan are not to be underestimated. Our objectives and targets, as reflected in the Plan, will not be achieved by small, incremental change. Nor will they be easily achieved without adequate levels of public and private investment. The 'step-up' required by this Plan is demanding, and will require innovative, integrated planning and action across the University if we are to be successful.

In a large organisation in which significant decision-making is devolved to staff at various levels, it is important that planning and review processes ensure a focus of resource and effort on the University's strategic objectives. This Strategic Plan will continue to be the key document in our cycle of planning, delivery and accountability, providing that focus for the University over the next seven years.

The objectives contained within the Plan will form the basis for annual planning and resource allocation as faculties and service divisions consider how they can best use resources to maximise progress towards the higher performance and international standing sought by the University. The actions contained within it are not exhaustive, but are intended to be a starting point to help those who will use the Plan think about how they might ensure that their own faculty or service division can best contribute to the University's overall strategic development.

If we are to achieve this vision, we must respond to change and devote our time and energy to those activities which most significantly advance the University. I look forward to your ongoing support as we continue the process of developing The University of Auckland, a world-class university in New Zealand.



Stuart N. McCutcheon
Vice-Chancellor

September 2006

The Strategic Plan 2005-2012 was reviewed in mid-2006 and was endorsed by Council on 21 August 2006 with one amendment. Objective 13, which originally read 'Recruit and retain a high-quality staff and student body that draws upon the widest possible pool of talent', has now been re-worded as follows: 'Recruit and retain a high-quality staff and student body, striving to create equal opportunities for all those of ability to succeed in a university of high international standing'.

INTRODUCTION

The University of Auckland was 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".² Over 120 years later, the University is an autonomous institution, committed to learning, teaching and research of value to all New Zealanders, and pre-eminent in its own country.

The University's staff and students, and its academic endeavours, reflect the distinctive qualities of New Zealand. This nation's history and our place in the Pacific and in the world confer much of the special character of the University. The University, through its commitment to the Treaty of Waitangi, seeks to promote Māori presence and participation, and to encourage teaching and research in a range of fields important to Māori and to New Zealand.

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 social and cultural development, to social justice and equity, to critical inquiry and intellectual discourse, to scientific discovery and a sustainable future, 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. Our next challenge is to become a major international university, providing a learning environment of the highest quality, leading the advancement of knowledge creation, intellectual discovery and innovation within New Zealand, and taking our place with world-class universities on the global stage. In short, The University of Auckland will be:

**A WORLD-CLASS UNIVERSITY
IN NEW ZEALAND**

2. Sir William Jervois, Governor of New Zealand, speaking at the opening of the College (1883)

A world-class University of Auckland will assist our country to meet its national goals and to contribute to the advancement of the Asia-Pacific region and the wider world. Our engagement with this ideal will help provide all New Zealanders with greater opportunities and a better future.

In order to achieve this goal, we need to:

- Advance our **international standing** as an autonomous university, and as a peer and partner of choice of leading universities around the world;
- Substantially increase our performance in **research and creative work**, demonstrating The University of Auckland's commitment to scholarship, innovation, discovery and wealth creation;
- Continue to pursue excellence in **teaching and learning**, providing outstanding students with a curriculum and student environment of the highest standard;
- Place greater emphasis on the development of productive and mutually supportive relationships with Māori which fulfil our obligations under the **Treaty of Waitangi** and promote Māori presence and participation in all aspects of University life;
- Significantly enhance **engagement with our communities**, ensuring The University of Auckland is a valued contributor to, and participant in, the life of the nation and the world;
- Be innovative and flexible in our efforts to recruit and retain the best staff and students, creating an environment where **excellent people** thrive;
- Remain focused on **resourcing and organising for quality**, protecting the University's long-term viability and autonomy, and ensuring financial and management practices that support the University's mission and values.

Achievement of our objectives in these areas, as laid out in this Plan, will move us towards our goal. If we are successful, by 2012 we expect to be consistently ranked among the top 50 of the world's 7,000 universities.

INTERNATIONAL STANDING

The University of Auckland is an autonomous university committed to learning, teaching and research of value to New Zealand and New Zealanders.

Through the delivery of education and training of the highest quality, the creation and dissemination of knowledge and expertise, and through its role as a critic and conscience of society, the University makes an important contribution to the cultural, social, political and economic development of the nation. However, by virtue of its history and nature, and through the scholarship and research of its academic community, the University also transcends national boundaries. The increasingly powerful forces of global change compound this dual nature and purpose.

Worldwide trends of particular importance to the University include an accelerating pace of change in the tertiary sector, driven by an explosion in the rate and means of knowledge acquisition, and a revolution in information and communications technology. Governments and other stakeholders around the world are focusing on how their tertiary systems can best be organised, differentiated and supported to meet national goals and aspirations.

As an academic community, we have set a mission to be a university of high international standing, recognised for excellence across all of our activities. Our major aim in the period 2005 to 2012 is to improve the University's international standing through the enhancement of the quality of our teaching and learning, our research, and the support systems that underpin these activities. We do so with a commitment to, and reliance upon, academic freedom and independent University decision-making – both necessary conditions for a university of high international standing.

The standing of the University, and its ability to keep in touch with international scholarship, research and intellectual developments, depend partly on the connectedness of its staff and students internationally, and the dynamism of these links. We need to continue to encourage and build strong and useful relationships between individuals, departments, research teams, and other international bodies that can assist us to advance research, and drive innovation in our learning environment.

An environment and culture that encourage and support internationalisation strategies and activities will assist us to build our international profile as a world-class university. 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 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.

We also need strong partnerships with leading universities throughout the world 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. In practice, the University's benchmarks are the top tier of Australian universities and the broad-based, civic universities that make up the international groupings within Universitas 21 and the Association of Pacific Rim Universities.

For a research-intensive university seeking to develop partnerships with leading universities in other countries, as well as to access research funding offshore and to win the support of alumni and benefactors, external rankings provide an indication of quality and of claims to leadership in education and research. Our current rankings place us between 67th and 200th in the world.³ Our ambition is to enhance this standing. We are well-placed to take up that challenge.

Our extensive global research linkages, the international focus of our staff, our high numbers of top quality international undergraduate and postgraduate students, our numerous international degree accreditations, and the demanding entry standards required by a number of our programmes, coupled with innovative developments in infrastructure, indicate our strengths and the ways in which we have already built the quality of our institution.

International ranking systems should not be followed slavishly, but they do indicate the key factors that drive international reputations and tell us something about our relative positioning at any point in time. The bases of international rankings include: numbers of staff and alumni who have won major international prizes; citation frequency, journal reputation, and other measures of the impact of staff research; international reputation, as measured by peer review; staff: student ratios; the quality

3. *Times Higher Education (2004); Shanghai Jiao Tong (2004)*

of the student intake; international student numbers; the numbers of international academics on the staff; and investment per student. These are measures of quality to which we should pay particular attention.

OBJECTIVE 1

Establish The University of Auckland, New Zealand's premier research university, as a peer of the world's leading autonomous universities through association and collaboration, and by an active presence in the international academic community.⁴

ACTIONS

- Demonstrate leadership in engagement with Government and the public in preserving and enhancing academic freedom, and ensuring a strong and autonomous university sector.
- Promote collaborative arrangements and partnerships which support our objective of achieving outstanding performance, and enhance our contribution to the international academic community.
- Encourage and support the development of strong and meaningful links between staff and colleagues in national and international academic communities.
- Establish institutional relationships and partnerships with selected leading international universities from whom we can learn and to whom we can contribute.
- Manage key relationships and partnerships effectively, and at the appropriate level within the University.
- Promote the professional and personal benefits of these relationships and partnerships to our staff and students.

4. Objectives are generally expressed as a target to be achieved by 31 December 2012.

OBJECTIVE 2

Create a distinctive international educational experience for our students, in Auckland and overseas.

ACTIONS

- Promote and support a culture which encourages internationalisation of the student experience.
- Manage the recruitment, retention and support of students so as to achieve a student body in which international students comprise a maximum of 20 per cent of undergraduate students, and a minimum of 25 per cent of postgraduate students; and no single source country to provide more than 25 per cent of the total international student body.
- Provide opportunities for at least 2,000 domestic students to study overseas at leading partner universities each year.
- Provide domestic and international students with opportunities to engage with one another and with local and international communities in order to maximise the benefit they receive from their international experiences.
- Further develop a curriculum at both the undergraduate and postgraduate levels which, where appropriate, promotes and values diverse international perspectives.

RESEARCH AND CREATIVE WORK

The University of Auckland, as a research-intensive university, is looked to in the creation of knowledge and the development of intellectual and social capital. The urgent demand that New Zealand become still more innovative places heavy responsibilities on institutions undertaking advanced learning and research. Our commitment to national advancement requires that we continually improve our research capability and focus.

The University's research strategy is to create and promote research of value to New Zealand's society and economy; to undertake high quality research which contributes to social, economic, environmental and cultural development; to build and consolidate areas of research excellence in the wide range of disciplines expected in an international, multidisciplinary university; to attract, encourage and retain the best possible researchers; and to provide the appropriate infrastructure and resources to support research.

Within New Zealand, changes since 2003 have emphasised research as a measure of the standing of universities and as a basis for investing in them. The introduction of the Performance-Based Research Fund (PBRF) has seen a progressive reallocation of a portion of student-based funding according to research quality. The University of Auckland's position as the leading New Zealand research university was confirmed by the 2003 PBRF assessment which found the University had the highest quality score of any tertiary education organisation in New Zealand and the largest number of 'A'-rated, or world-class, researchers in the country. This result attests to the quality and performance of our staff and students, and the infrastructure that supports them.

We intend to target our investment to improve performance in each of the three sub-measures of PBRF: quality evaluation of staff; external research income; and research degree completions. International benchmarks indicate that the University needs to address the issue of its ratio of undergraduate to postgraduate research students, and increase the number of academically excellent students enrolling in postgraduate programmes.

To maintain the University's premier position in the PBRF, and to enhance the international reputation of our research staff and the University, we need to create an environment and infrastructure that fosters and supports high quality research across the full range of disciplines in the University. We also need to provide an environment that meets the needs of

postgraduate students, supports their aspirations, and helps our students to complete high quality research masters and doctoral programmes in a timely fashion.

To provide such an environment for our staff and students to the level expected of a multidisciplinary research-led university will require significantly higher levels of research funding. Increased levels of research income will improve our performance in the PBRF and provide additional support for our growing research activities. A broad base of research income provides the University with greater financial flexibility, and reflects the extent to which external parties are willing to invest in our research infrastructure and activities. Such research grants and contracts reflect important partnerships between the University and its communities.

This University has performed well in competitively securing New Zealand public funding for research. However, its ability to expand in this area is limited and it is likely that our ambitions as a research institution will increasingly outstrip financial support available in New Zealand and require us to seek partnerships overseas. The accelerating trend for outsourcing of research and innovation by many of the world's largest companies has created an opportunity for The University to Auckland to position itself as a provider of a set of world-class capabilities. Another way to increase off-shore research funding is to have a small number of unique and internationally recognised research entities which overseas funding agencies will seek to support.

OBJECTIVE 3

Achieve a PBRF ratio of A:B:C:R rated researchers working at the University of 20:50:22:8 through the development of a high quality research environment.⁵

ACTIONS

- Maintain policies and procedures relating to the recruitment, employment, appraisal, promotion, reward and retention of academic staff that place due emphasis on actual or attainable research quality.
- Maintain an environment that supports new and emerging researchers by placing due emphasis on the availability of research time, mentoring and access to funding opportunities.
- Provide an environment that enables academic staff to take advantage of professional development programmes and research support aimed at improving their research output, peer esteem and contribution to the research environment.

5. The 2003 ratings were 10:36:35:20.

- Encourage and facilitate the dissemination of research outcomes to local, national and international communities.
- Provide support mechanisms which help to ensure that the achievements of staff in research are recognised.
- Encourage the recruitment as staff of outstanding and successful graduates, through meaningful engagement with the University's research environment and active promotion of its research activities and environment.

OBJECTIVE 4

Achieve 800 masters and 500 doctoral completions per annum through the development of an international quality graduate programme.⁶

ACTIONS

- Manage the recruitment and selection of a diverse body of postgraduate students to achieve a target of 22 per cent of students in postgraduate programmes, with 10 per cent in postgraduate research programmes.
- Support and encourage high quality honours and research masters students to enhance their progression to masters and PhD degrees, respectively.
- Ensure that all staff supervising research students are appropriately prepared and allocated to students in ways designed to maximise the quality of supervision and probability of student success.
- Support postgraduate students (e.g. via scholarships and research resources) to ensure that they complete their programmes within the allotted time.
- Expand the opportunities for postgraduate students to work with established researchers and research groups, in a challenging and intellectually vibrant environment, with opportunities to test themselves internationally.

6. In 2004, a total of 420 masters and 185 doctoral students completed their research degrees.

OBJECTIVE 5

Provide enhanced support for research activities by doubling external research income to \$270m per annum.⁷

ACTIONS

- Develop policies which support the growth of activities funded by external research income while ensuring that the autonomy of the University and its financial position are protected.
- Promote the research expertise of the University to external parties, including industry within New Zealand and overseas.
- Match the needs of those parties with the expertise of University staff and postgraduate students, and eliminate internal competition in the management of those relationships.
- Develop the ability of staff to conduct research in a manner which meets the needs of external parties while at the same time adhering to the principles of academic freedom and institutional autonomy.
- Ensure that the external acquisition of the University's expertise is, as far as possible, fully funded (i.e. that the University does not subsidise external parties).
- 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.

OBJECTIVE 6

Develop large-scale research institutes of excellence.

ACTIONS

- Determine policy which will govern the operation of large-scale research institutes, providing them with an appropriate operating environment and accountabilities.
- Invest in selected institutes to ensure that they can achieve sustainability at the required scale in the shortest time possible.
- Encourage co-operation between research institutes and faculties, so as to maximise mutual benefit and minimise internal competition.
- Ensure that institutes which fail to grow and perform to the required level are closed so as to release funding for other ventures.

7. "External research income" is revenue which is obtained by the University and UniServices Limited for research, consulting and development contracts from external parties (other than through Government tuition subsidies, tuition fees and the PBRF).

TEACHING AND LEARNING

A university of international standing must be committed to the advancement of learning and the development of intellectual independence across a comprehensive portfolio of academic programmes at the undergraduate and postgraduate level.

Through the curriculum, we engage our students in our mission and equip them to participate in the global world of knowledge and understanding. While we aim to enhance our research performance, this must be accompanied by enhancement of teaching and learning, and the further development of the learning environment.

The teaching and learning challenges are profound as knowledge advances, disciplinary boundaries blur, and methods of communicating knowledge, and the student experience and expectations change. A truly excellent university education reflects current knowledge, integrates teaching with the research strengths of staff, makes the best use of new teaching, learning and information technologies, challenges and excites students, and enables them to achieve the graduate profile appropriate to their area and level of study. Academic staff should have a love of teaching and a desire to communicate their discipline, knowledge and skills of analysis, critical thinking, and synthesis to students. Staff who demonstrate excellence in teaching should be acknowledged and celebrated.

The University of Auckland has a long commitment to a high quality learning environment that promotes, supports, and celebrates teaching and student success. We also have a well-deserved reputation for the quality of our student body – an important determinant of the national and international standing of a university. The University of Auckland wishes to attract students who are academically able, prepared for university study, have the ability to take advantage of degree study involving critical thinking, problem-solving, and research-based teaching, and have a desire to learn and be challenged intellectually. We expect our graduates to be independent and critical thinkers with an openness to new ideas, possessing intellectual curiosity and integrity, to have a mastery of a body of knowledge and professional skills, 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. These student and graduate attributes are important to attaining our vision of being an internationally focused, high quality research university.

Objective measures of teaching and learning performance are not as readily available as assessments of research quality. However, our reputation with students, their parents and families, and our communities rests significantly on the quality of our teaching and learning. As such, we acknowledge the need to develop and review performance against appropriate benchmarks.

New Zealand has entered a period of demographic change which has significant implications for the tertiary sector. The major feature is that most of the population growth over the next five years is expected to occur in Auckland, and much of it will be of Māori, Pacific and Asian peoples. The continuation of growth among Māori and Pacific populations will constitute a challenge for this University as it seeks to recruit students with the potential to succeed from populations not previously enrolled and graduated in large numbers in the University. The growing diversity of the student body brings with it the challenges and opportunities of working with different intellectual traditions and different bodies of experience.

The ability to attract top quality students is a key issue for The University of Auckland and in any trade-off between quality and numbers, quality must always be the winner. That said, modest growth in the size of the organisation provides financial flexibility that is not available to an organisation which is static or shrinking. While applying high standards for admission to the University, and adhering to these rigidly, we aim for modest growth of 1.0 per cent per annum to a student body of approximately 33,500 equivalent full-time students by 2012. Within this growth, the University will put a greater emphasis on postgraduate education and its engagement with the research training of postgraduate students. Given the regional demographics, a slower but still significant rate of immigration, and the anticipated increasing attractiveness of the University to New Zealand and international students, this rate of growth should be achievable while further improving the quality of our student intake.

OBJECTIVE 7

Achieve a high quality student body with an annual growth rate of equivalent full-time students of 1 per cent. This student body to be composed as follows: 78 per cent in undergraduate, 12 per cent in taught postgraduate and 10 per cent in research postgraduate programmes.⁸

8. In 2004, total EFTS were 31,203 (84 per cent undergraduate, 10 per cent taught postgraduate and 6 per cent research postgraduate).

ACTIONS

- Determine a base line growth for each faculty and programme that will enable the University to achieve its annual target student enrolment and a student body consistent with its mission.
- Determine, and review regularly, the standard for admission to each academic programme and maintain policies and procedures for selection and admission that are consistent with those standards.
- Promote recruitment strategies and activities that are consistent with the goal of admitting high quality, motivated students from throughout New Zealand and internationally, who have the attributes sought by the University.
- Review the needs and expectations of prospective students with the attributes sought by the University, identify barriers to their admission to the University and establish an enhanced portfolio of initiatives to overcome such barriers.
- Actions relating to the postgraduate profile of students are covered under Objective 4; and those relating to equity, under Objective 13.

OBJECTIVE 8

Create a curriculum meeting the highest standards of excellence across the University.

ACTIONS

- Maintain a programme of regular reviews of curricula, educational objectives and teaching delivery by all faculties and departments so that teaching and learning reflect developments in the discipline or disciplines, are informed by the highest standards of curriculum design and pedagogy, and meet the requirements of the graduate profiles and the needs of students.
- Maintain the breadth and depth of the curriculum, including disciplinary and interdisciplinary studies, within available resources, at the same time eliminating all unnecessary duplication of programmes and courses.
- 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.
- Encourage the integration of international experience into the curriculum through exchange and study abroad programmes and student participation in international student activities.

OBJECTIVE 9**Create and maintain an outstanding teaching and learning environment.****ACTIONS**

- Provide and maintain a learning environment, including programme information and advice, learning resources, technology, support and guidance, of the highest quality.
- Maintain policies and procedures relating to the recruitment, employment, appraisal, promotion, reward and retention of academic staff that place due emphasis on contributions to the teaching and learning activities of the University
- Recognise, reward and celebrate staff and student achievements in teaching and learning.
- Provide and promote professional development programmes and teaching support aimed at improving the quality of course design and delivery.
- Provide support for innovations in teaching and learning, particularly those that involve use of new technologies, and create communities of interest among faculty and service division staff and students that sustain and promote innovation.
- Enrich face-to-face teaching and learning by providing interactive on-line learning that draws on international best practice in e-learning.
- Develop objective measures and benchmarks of an outstanding teaching and learning environment, and review University-wide performance against those measures on a regular basis.
- See also actions relating to the teaching and learning environment of postgraduate students (Objective 4).

TE TIRITI O WAITANGI / THE TREATY OF WAITANGI

The University is committed to the mutual rights and obligations articulated by Te Tiriti o Waitangi, with particular emphasis on 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.

It is essential to the University, and to the country and the international community, that it maintain and strengthen its 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. In order to achieve this, the University will improve the recruitment, retention, and success rates of Māori students and further expand the opportunities for all Māori staff.

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

- Develop and implement strategies to improve Māori student participation, success, retention and completion rates in all disciplines.
- Celebrate successes which arise from these relationships.

OBJECTIVE 10**Fulfil the responsibilities and obligations of the University under Te Tiriti o Waitangi.****ACTIONS**

- Develop relationships 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 and cultural advancement across all relevant disciplines.
- Develop and implement strategies to assist all staff and students to have a knowledge and understanding of Te Tiriti o Waitangi relevant to their disciplines.
- Regularly assess the performance of the University against its responsibilities and obligations under Te Tiriti o Waitangi.
- Develop and implement policies and processes to improve Māori staff recruitment, promotion, reward and retention.

COMMUNITY ENGAGEMENT

An international, research-intensive university has many communities which contribute to, and draw upon, its research, teaching and ideas. The University has a distinctive part to play in dissemination of research, encouragement of innovation and application of advanced thinking and learning that impact positively on our economy, society, culture and environment.

As a public institution, the University embraces its obligations to its region and the nation, and its role as critic and conscience of society. It is committed to ensuring that its activities benefit the communities that it serves and with which it engages. In engaging in creative partnerships to further social, cultural, business and economic development, the University provides national leadership. By working closely with its communities, the University can stimulate New Zealand's artistic and cultural life, enhance innovation and economic prosperity, contribute fully to improvements in the health and wellbeing of the population, and foster the debate and independent thinking that characterise our nation.

Mutually beneficial and strengthening relationships between communities and universities underpin and inform both teaching and research. 'Community engagement' carries the connotation of a partnership: the University serves its community and learns from, and is challenged by, the society of which it is a part. These partnerships sustain the University's community life, ensure it has the linkages required to respond to global and local issues, and help ensure the University is a valued contributor to and participant in the life of the nation and the international community. 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.

The University is strongly committed to equity of opportunity and has a number of programmes designed to assist members of the community who are disadvantaged to gain entry, make the transition to and succeed as university students and staff. The commitment to equity is not restricted to teaching but extends to community-based research and development that benefits society and seeks to reduce inequality.

The University engages with a variety of communities in Auckland, in New Zealand and in the countries and regions with which we are most strongly connected. 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 University already has a strong record of positive actions towards transforming educational and economic outcomes for Pacific students. 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 population is also contributing to the diversity and vibrancy of the University and Auckland, and becoming an increasingly important component of the University's academic life. The University must continue to strengthen links with Asia and enhance engagement with increasingly important Asian communities.

Building relationships and collaboration lie at the root of community engagement and the University benefits from the political, intellectual and financial support of its many friends. The University of Auckland has a body of alumni of whom it is justifiably proud. Those alumni 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 strong 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. We are dedicated to maintaining a regular dialogue with our alumni, members of advisory groups, advocates, benefactors and friends, to giving them the opportunity to influence the University's future, and to informing them of the progress we are making towards that future. They, in turn, provide a rich source of advice, encouragement and support.

OBJECTIVE 11

Develop effective partnerships with the University's local, national and international communities.

ACTIONS

- Develop active and productive relationships with Pacific groups and communities based on shared aims and aspirations.
- Develop active and productive relationships with Asian groups and communities based on shared aims and aspirations.
- Identify appropriate partners (e.g. employers, industry, Government, professional bodies, schools, other public institutions and individuals).
- 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 both parties.
- Make available the expertise of the University to those partner organisations.

OBJECTIVE 12

Engage alumni and friends in mutually supportive and productive relationships.

ACTIONS

- Maintain regular contact with the greatest possible number of alumni and friends, and meet their aspirations for a relationship with the University.
- Keep alumni and friends 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 clear view across the University and its constituent units (e.g. faculties) of the support that is sought from alumni and friends and develop a fully integrated approach to seeking that support.
- Develop new, integrated alumni relations and advancement initiatives, based on international best practice, to engage alumni and friends in innovative fund-raising and funding partnerships.

EXCELLENT PEOPLE

The institutional values of the University include a commitment to a diverse, collegial and scholarly community in which individuals are valued and respected, academic freedom is exercised with intellectual rigour, and high ethical standards and critical enquiry are encouraged. We recognise that the strength of the University is in its people. Our commitment is reflected in the selection, development and recognition of staff, in the recruitment and education of students, and in relations with our communities.

The key factor in building a nationally pre-eminent and internationally competitive university is the ability to recruit and retain a gifted and diverse body of students and staff. Diversity contributes to internationally excellent scholarship and intellectual life in the University is enriched by the engagement of staff and students from a wide range of backgrounds. This requires us to draw on the widest possible pool of talent, irrespective of socio-economic status, ethnicity or gender.

The University is fortunate to have many internationally regarded, able and committed staff. However, in a highly competitive job market, to attract and retain outstanding individuals the University must be innovative and proactive in promoting a culture of excellence that will fulfil the aspirations of staff who are motivated to succeed. Its employment practices and policies need to be flexible, transparent and appropriate to a University which values quality and achievement in an international context. This presents a particular challenge for this University as we continue to operate in a climate of inadequate public investment and as we plan for staff succession against a backdrop of an ageing staff profile. Identifying and supporting those with the potential to succeed, and to lead and motivate others, will be essential if the University is to achieve its strategic objectives.

The growing diversity of the population and rising disparities in income distribution pose challenges for a University that aims to remain accessible to all those with the potential to succeed in a university of high international standing. Currently, compulsory education in New Zealand has the second highest rate of educational inequality in the OECD, with marked variations in educational outcomes for students from schools serving different communities. While the staff and student bodies of The University of Auckland have become significantly more diverse over the past decade, none of the main under-represented groups within the University – Māori, Pacific, and staff and students with

disabilities – has achieved demographic parity with the wider population. Students from these under-represented groups have not achieved adequate representation in degree completions and postgraduate programmes. Similarly, we do not have an even distribution of men and women in certain faculties and some occupational groupings.

As the leading research and teaching institution in the most ethnically diverse city in New Zealand, we have particular opportunities and responsibilities to be gained from, and given to, the wider community. To overcome impediments to participation in the University, we will need to work actively with communities and with government agencies in promoting equity of access. Leadership in equal opportunities also underpins other institutional objectives of excellence in research, teaching, enhancing the impact of the University's research on its communities.

To attract and retain outstanding students from throughout New Zealand and the world, the University will need to enhance the quality of the student experience, and increase awareness of the many social, recreational and cultural opportunities that are available to students. A student environment which presents opportunities for personal growth, independence, tolerance, and the development of leadership skills within a high quality learning environment, is attractive to students and important to their future personal and career development. Such an environment increases interaction across the University, assists with the development of friendships and support networks, encourages interdisciplinary learning, adds variety and excitement to the University experience, and helps students to build a long-term relationship with the institution after they have graduated.

OBJECTIVE 13

Recruit and retain a high-quality staff and student body, striving to create equal opportunities for all those of ability to succeed in a university of high international standing.

ACTIONS

- Maintain the University's leadership role in the promotion and practice of research and evidence-based approaches to the delivery of equal opportunities and high rates of achieving equity objectives.
- Deliver evidence-based and outcome-focused initiatives and processes in outreach, recruitment, admissions, student and learning support, teaching, and academic mentoring and tutoring, to

enhance the participation and success of high quality students from under-represented groups, including Māori, Pacific, men and women in some disciplines and occupational groups, and students with disabilities.

- Deliver evidence-based and outcome-focused initiatives and processes to enhance the recruitment, employment, retention, achievement, reward and progression of high quality staff from under-represented groups, including Māori, Pacific, men and women in some disciplines and occupational groups, and staff with disabilities.
- Maintain rigorous monitoring and evaluation of initiatives and processes, focused on accountability for their consistent and effective operation, and utilising national and international benchmarking wherever possible.
- Provide high quality training for staff involved in the recruitment, evaluation and support of staff and students from under-represented groups.

OBJECTIVE 14

Enhance and promote a student environment that is welcoming, enjoyable and stimulating, encouraging students to reach their full potential within a climate of academic excellence.

ACTIONS

- Enhance and promote an environment that meets the needs of undergraduate and postgraduate students and encourages their academic, personal and career development.
- Encourage activities and events that engage students in campus life, adding value to the educational experiences provided by the University.
- Monitor and evaluate satisfaction with the student experience and with activities intended to enhance it.
- Collaborate with undergraduate and postgraduate student representatives to provide facilities and services that support the social, recreational, cultural and spiritual needs of students.
- Encourage strong, effective and creative student leadership.
- Celebrate student success in academic, recreational and cultural activities.
- Promote to prospective students the social, recreational and cultural opportunities that are presented by campus life at The University of Auckland, and by the cities and regions within which the University operates.

OBJECTIVE 15

Create a culture that encourages academic and general staff to reach their full potential.

ACTIONS

- Design and implement recruitment activities that identify, attract, secure and retain the most able staff.
- Encourage the retention and progression of outstanding academic and general staff through structures, policies, practices and incentives designed to foster and support excellence in teaching, learning, research and administration.
- Provide and promote relevant development, training and study opportunities which are guided by flexible, innovative and effective methodologies and which motivate staff to continually improve their performance.
- Ensure that the University's employment policies and practices meet the needs for flexible working arrangements subject to the operational needs of the University.
- Empower staff to take an active role in their own career development and to consider how they can best contribute to the University.
- Operate reward systems that are equitable, transparent, competitive and focused on the value of each staff member to the organisation.
- Promote opportunities for national and international recognition of staff achievement, and celebrate that staff success with relevant communities.
- Identify potential leaders within the University and provide them with the support required to develop their capability for leadership.
- Provide managers throughout the University with the support and tools they need to lead and mentor staff to achieve their full potential.

RESOURCING AND ORGANISING FOR QUALITY

As a strong and autonomous university, we must ensure 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, there are many characteristics of a university that give rise to a need for a carefully considered approach to management. A university has multiple objectives, which are not always readily measurable, which are often only measurable at all over a long period of time, and which can sometimes be in conflict with each other. 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 University. In order to maintain an environment that guarantees academic freedom, the University must protect its own autonomy, and its role as a critic and conscience of society.

The University needs to employ governance and management practices that are carefully chosen and are sensitive to, and supportive of, the mission and values of the University. 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.

The University of Auckland aims to provide a standard of teaching, learning and research that is comparable to that of its international peers. However, by the standards of those peer organisations, this University is seriously under-resourced. Despite some recent attempts to increase differentiation within the tertiary sector, the residual emphasis on quantity, rather than quality, has seen funding remain at a very low level internationally. The income of this University is approximately 60 per cent that of similar Australian universities, corrected for size and purchasing power. To support teaching and research activity at levels consistent with comparable Australian universities, The University of Auckland would require additional revenues of approximately \$180 - \$200m per annum.

Over the past ten years, the revenue of universities in New Zealand has shifted markedly from its previous dependence on government tuition subsidies. In the case of The University of Auckland, government tuition subsidies are projected to make up just 35 per cent of revenue in 2005. A decade ago, in 1995, these revenues made up 59 per cent of total revenues.

Investment in higher education is essential for the future welfare and prosperity of New Zealand. There is an urgent need for the funding of higher education in New Zealand to be placed on a sustainable and sensible basis.

While continuing to make a strong case for increased levels of public investment in New Zealand universities, the University is acutely conscious of the fact that, as with universities in other parts of the world, it must diversify its revenue further. Our revenue is increasingly derived from the tuition fees of international students, from research contracts, and from sponsorships and philanthropy. In seeking to grow its revenue, with particular focus on non-Government sources, the University recognises that revenue growth, or growth in the size and level of activity of the University, is not an end in itself. Higher levels of revenue will enable the University to undertake to a greater extent activities consistent with its objective of high quality teaching, research and community engagement, leading to increased international standing.

The University of Auckland must maintain prudent financial management in order to ensure its autonomy and viability, and add value to the University's activities through the effective management of its finances. Operating in a climate in which competition (in our case for quality staff and students, as well as resources) is intense and intensifying, the University must 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.

OBJECTIVE 16

Safeguard the long-term viability and autonomy of The University of Auckland through excellent financial management.

ACTIONS

- Maintain and annually review long-term financial projections.
- Operate within Tertiary Advisory Monitoring Unit Level 1 risk criteria over the medium to long term, and within all Level 2 and 3 criteria at all times.
- 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 demanded by the Government.
- Enable the University, over the long term, and with prudent use of debt, to fund its capital programme.
- Provide timely, accurate and relevant financial information and forecasts across the University.

- Link financial performance and forecasting accuracy to faculty and service division objectives and performance appraisals.
- Maintain a continual focus on the elimination of inefficient or unnecessary processes, areas of waste and expenditure not contributing directly to achievement of the University's strategic objectives.
- Recover all direct and indirect costs of providing goods and services, and ensure the receipt of value on all major goods and services purchased.

OBJECTIVE 17
Increase and diversify the University's revenue.

ACTIONS:

- Develop evidence supporting 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 achieve its ambitions to be a major contributor to New Zealand and international society.
- Ensure the recruitment and retention of a high quality, diversified body of students whose fees (and tuition subsidies, where relevant) at least fully cover the cost of their courses.
- Actively develop enhanced sources, particularly offshore, of public and private research funding.
- Systematically seek to identify opportunities for new, profitable, commercial activities and increasing margins generated from existing commercial activities.

OBJECTIVE 18
Provide an infrastructure that supports teaching, learning, research, and community engagement of the highest quality.

ACTIONS

- Regularly set and review priorities for the renewal, replacement and extension of the University's physical environment and infrastructure.
- Ensure that the University's capital planning across all campuses, faculties and service divisions 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, and is supported by quality business plans.
- Continually review and update the University's teaching facilities and equipment to meet students' and teachers' changing needs, changes in curricula and pedagogy.
- 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.
- Maintain investment in plant and equipment at an appropriate level, allowing for the replacement of existing 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, and ensure that the findings of each inform ongoing capital planning and future business plans for comparable projects.

OBJECTIVE 19
Promote governance and management practices consistent with the mission and values of The University of Auckland.

ACTIONS

- 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.
- Inform, enable and encourage participation in decision-making based on collegial practices and in the best interests of the University as a whole.
- 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.
- Create opportunities for significant strategic change, as well as incremental change.

- 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.
- Establish 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.
- Improve our understanding of the concept of sustainable management of resources appropriate for the University's activities, and develop policies and practices that improve the efficiency of resource utilisation and minimise the environmental impact of the University's operations.

OBJECTIVE 20
Operate planning and review processes that drive achievement of the University's strategic objectives.

ACTIONS

- Create and regularly review University-wide strategic and operational plans to provide co-ordination and focus for key strategic areas of activity.
- Require all faculties and service divisions to prepare their own strategic and operational plans, detailing how they will pursue the University's strategic objectives.
- 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 faculties and service divisions against objectives and ensure that managers' planning and performance appraisals focus strongly on the performance against the objectives of their unit.
- Establish clear links between a division's internal prioritisation and resource allocation processes and institution-wide objectives and strategies.
- Adjust base budgets to prioritise resources to areas of greatest strategic value and effectiveness.

APPENDIX A: SUMMARY OF OBJECTIVES⁹

<p>INTERNATIONAL STANDING</p> <p>OBJECTIVE 1 Establish The University of Auckland, New Zealand's premier research university, as a peer of the world's leading autonomous universities through association and collaboration, and by an active presence in the international academic community.</p> <p>OBJECTIVE 2 Create a distinctive international educational experience for our students, in Auckland and overseas.</p>	<p>COMMUNITY ENGAGEMENT</p> <p>OBJECTIVE 11 Develop effective partnerships with the University's local, national and international communities.</p> <p>OBJECTIVE 12 Engage alumni and friends in mutually supportive and productive relationships.</p>
<p>RESEARCH AND CREATIVE WORK</p> <p>OBJECTIVE 3 Achieve a PBRF ratio of A:B:C:R rated researchers working at the University of 20:50:22:8 through the development of a high quality research environment.</p> <p>OBJECTIVE 4 Achieve 800 masters and 500 doctoral completions per annum through the development of an international quality graduate programme.</p> <p>OBJECTIVE 5 Provide enhanced support for research activities by doubling external research income to \$270m per annum.</p> <p>OBJECTIVE 6 Develop large-scale research institutes of excellence.</p>	<p>EXCELLENT PEOPLE</p> <p>OBJECTIVE 13 Recruit and retain a high-quality staff and student body, striving to create equal opportunities for all those of ability to succeed in a university of high international standing.</p> <p>OBJECTIVE 14 Create and promote a student environment that is welcoming, enjoyable and stimulating, encouraging students to reach their full potential within a climate of academic excellence.</p> <p>OBJECTIVE 15 Create a culture that encourages academic and general staff to reach their full potential.</p>
<p>TEACHING AND LEARNING</p> <p>OBJECTIVE 7 Achieve a high quality student body with an annual growth rate of equivalent full-time students of 1 per cent. This student body to be composed as follows: 78 per cent in undergraduate, 12 per cent in taught postgraduate and 10 per cent in research postgraduate programmes.</p> <p>OBJECTIVE 8 Create a curriculum meeting the highest standards of excellence across the University.</p> <p>OBJECTIVE 9 Create and maintain an outstanding teaching and learning environment.</p>	<p>RESOURCING AND ORGANISING FOR QUALITY</p> <p>OBJECTIVE 16 Safeguard the long-term viability and autonomy of The University of Auckland through excellent financial management.</p> <p>OBJECTIVE 17 Increase and diversify the University's revenue.</p> <p>OBJECTIVE 18 Provide an infrastructure that supports teaching, learning, research, and community engagement of the highest quality.</p> <p>OBJECTIVE 19 Promote governance and management practices consistent with the mission and values of The University of Auckland.</p> <p>OBJECTIVE 20 Operate planning and review processes that drive achievement of the University's strategic objectives.</p>
<p>TE TIRITI O WAITANGI / THE TREATY OF WAITANGI</p> <p>OBJECTIVE 10 Fulfil the responsibilities and obligations of the University under Te Tiriti o Waitangi.</p>	<p>9. Objectives are generally expressed as a target to be achieved by 2012.</p>



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