

# **UC Investment Plan 2011-2013**

Submitted to the Tertiary Education Commission  
30 September 2010

Development of this Investment Plan has been informed by the content of six main documents: (1) The Tertiary Education Strategy 2010-2015; (2) TEC's Investment Guidance (June 4, 2010); (3) the Gazette Notice relating to Investment Plans (13 May 2010); (4) the Auditor-General's Observations on the Quality of Performance Reporting (June 2008); (5) the Report of the Joint TEC/NZVCC Working Group on Framework and Guidelines for Reporting on Outcomes (June 2010); and (6) the University's Statement of Strategic Intent (30 September 2009).

## **Statement of Strategic Intent**

We have a vision of  
People prepared to make a difference  
- tangata tū, tangata ora.

Our mission is to  
contribute to society through knowledge  
in chosen areas of endeavour  
by promoting a world-class  
learning environment  
known for attracting people  
with the greatest potential to make a difference.

We seek to be known as a  
university where knowledge is  
created, critiqued, disseminated and protected  
and where research, teaching and learning  
take place in ways that are inspirational and innovative.

Looking towards 2023,  
the 150<sup>th</sup> anniversary of our founding,  
the primary components of our strategy are to  
Challenge, Concentrate and Connect.

Adopted by the University of Canterbury Council  
30 September 2010

# Plan Context

## THE UNIVERSITY OF CANTERBURY

The University of Canterbury, Te Whare Wānanga o Waitaha, is New Zealand's second oldest university. Established in 1873 as a college of the University of New Zealand, Canterbury College became Canterbury University College in 1933 and the University of Canterbury in October 1957. Full autonomy was granted at the end of 1961. In January 2007 the Christchurch College of Education was merged with the University. This further enhanced the University's heritage insofar as the origins of the College of Education dated back to the founding of the Christchurch Normal School in 1877.

The University of Canterbury Act 1961 describes the purpose of the University as existing "for the advancement of knowledge and the dissemination and maintenance thereof by teaching and research." This is carried through to the Education Act 1989 and informs the statutory mission of the University which is to advance knowledge by research; to maintain and disseminate this knowledge through teaching, publications and critical debate; to confirm outcomes through the awarding and conferring of degrees, diplomas and certificates; to serve as a repository of knowledge and expertise; and to act as critic and conscience of society.

Acknowledging the Treaty of Waitangi in all its activities, the University's purpose is also to respond and contribute to the educational, research and development needs and aspirations of Māori, as tangata whenua. The University's responsibility towards meeting the educational needs and aspirations of Pacific peoples is also acknowledged.

## SPECIAL CHARACTER

The University of Canterbury embraces and emphasises traditional values of academic excellence and takes pride in a strong research culture and the innovative outputs of its staff and students. The special character of the University derives from its sense of history and place as well as its strong research culture.

### Sense of History and Place

The University has a distinguished historical legacy. By 1890, barely 17 years after its founding, Canterbury College boasted staff, course offerings and degrees in science, engineering, law, the humanities and fine arts. The University has one of the oldest Engineering departments in the world and the oldest Fine Arts department in the British Commonwealth.<sup>1</sup> In 1906, the University introduced the Bachelor of Commerce degree, then one of the first business degrees in the Commonwealth. The University's library dates back to 1879. Books for the original library were donated by the University of Oxford and significant connections with Oxford and Cambridge still continue, primarily through Oxford and Cambridge reciprocal exchange programmes established in 2002 and 2008 respectively.

Key aspects of the University's distinctiveness also derive from its location in Christchurch, New Zealand's oldest city and the South Island's largest. Historically, Christchurch was a significant centre in the original European land-based economy and society of New Zealand. When provincial government was ending in New Zealand, Canterbury College was endowed with significant tracts of South Island high country land. This passed in due course to the University and provided an ongoing focus for research and teaching related to the nature and sustainable use of high country land. Reflecting this, a distinctive characteristic of the University is the way in which teaching and research is enhanced through a network of field stations.<sup>2</sup>

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<sup>1</sup> Connections with some of the University's most notable alumni and staff also date from these early days including Sir Ernest Rutherford, Sir Julius Von Haast, John Angus Erskine, James Hight, John Macmillan Brown, Sir Apirana Ngata and Helen Connon, the first woman to graduate with Honours in the British Empire.

<sup>2</sup> These include field stations at Kaikoura, Cass, Westport and Harihari, used primarily for teaching and research in biological and earth sciences, and New Zealand's premier astronomical research facility at Mount John, Tekapo.

The Canterbury region contains half of the population of the South Island and will be its major growth area for the foreseeable future both in population and economic terms. Christchurch is thus large enough to be a significant player regionally and nationally in business, commerce, politics and the arts and yet not so large that staff and students of the University cannot feature prominently in these. The University is unique in this regard among New Zealand universities.

Complementing this regional focus, the University also provides a bridge to the nation and the world for staff, students and visiting scholars because of the quality of its academic reputation, networks and endowments. Key to this global connectedness is the Erskine bequest which provides substantial support through fellowships for eminent scholars to visit and spend time at the University and through grants for members of the University's academic staff to travel overseas extending academic networks and connections.<sup>3</sup>

### **Strong Research Culture**

The University of Canterbury is a place where scholarship is valued, where teaching and learning are strongly linked to research and where staff, students and visiting scholars work within a strong and vibrant research culture. This is reflected in the specialist focus of many of the University's research institutes and research centres.<sup>4</sup>

The University has an impressive international profile in research, learning and advanced scholarship as is evidenced by its strong performance in Performance-Based Research Fund rounds. This fuels the University's resolve to continue with strong contributions to fundamental and applied research, with well-regarded postgraduate and research programmes and with strong research and collaborative links to external stakeholders. As the home to a major concentration of electronics, computing, software and precision engineering industries, Christchurch is arguably the "hi-tech" centre of New Zealand's emerging, knowledge-based society. This is mirrored in the University's strengths in engineering, sciences and information technology, and in the fact that the University is home to the New Zealand ICT Innovation Institute (NZi3), the Human Interface Technology Laboratory of New Zealand, the Biomolecular Research Institute, the New Zealand Institute of Language, Brain and Behaviour and Blue Fern<sup>TM</sup>, New Zealand's leading high-performance computing facility.

## **STRATEGIC CONTEXT**

### **Government Policy Drivers**

Six main policy drivers have been identified by Government as contributing to improving the country's economic performance and supporting more sustainable growth into the future.<sup>5</sup> These are improving the regulatory environment for business; lifting the performance of the public sector; supporting innovation and business by promoting a stronger relationship between the business sector and publically-funded research institutions; ensuring New Zealand has the skills its needs to drive economic performance; improving infrastructure; and making the tax system as fair and efficient as possible. Two of these policy drivers are of particular significance to the tertiary education sector - education and skills, and innovation and business – and as such are reflected in the Tertiary Education Strategy.

### **Tertiary Education Strategy**

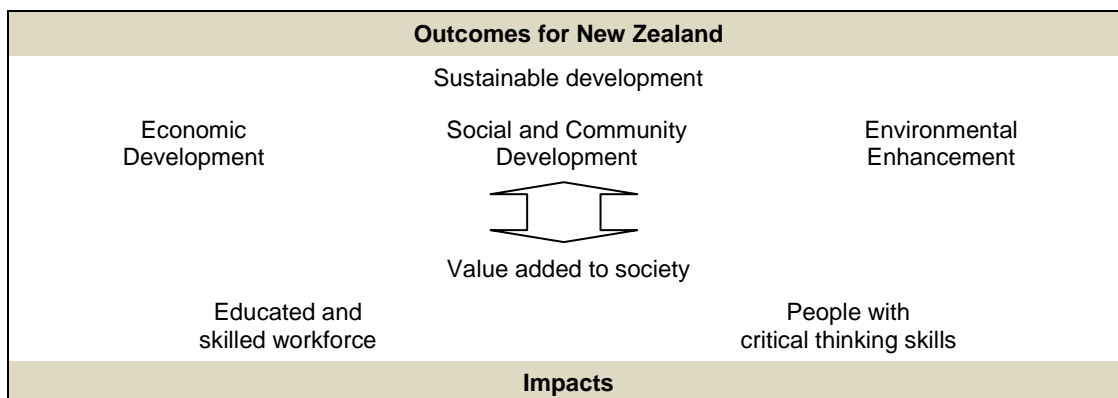
The Tertiary Education Strategy 2010-2015 sets out the Government's expectations in relation to a tertiary education sector that will contribute to achieving sustainable development outcomes for New Zealand. The Government's vision is for a world-leading education system that will add value to society by producing an educated and skilled workforce with critical thinking skills.

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<sup>3</sup> See <http://www.canterbury.ac.nz/erskine/>.

<sup>4</sup> A full listing of the University's research institutes and centres is provided in Appendix 2.

<sup>5</sup> See <http://www.exporthb.co.nz/data/media/documents/img-716100016.pdf>



In order to achieve these outcomes the Government requires the tertiary sector to contribute to society by producing outputs related to student achievement, quality research and improved system performance.

Within a capped funding environment, tertiary education organisations are expected to create learning environments that support progression and completion by a diverse range of learners, strengthen levels of engagement with communities and industries and contribute to the achievement of the following Tertiary Education Strategy priorities:

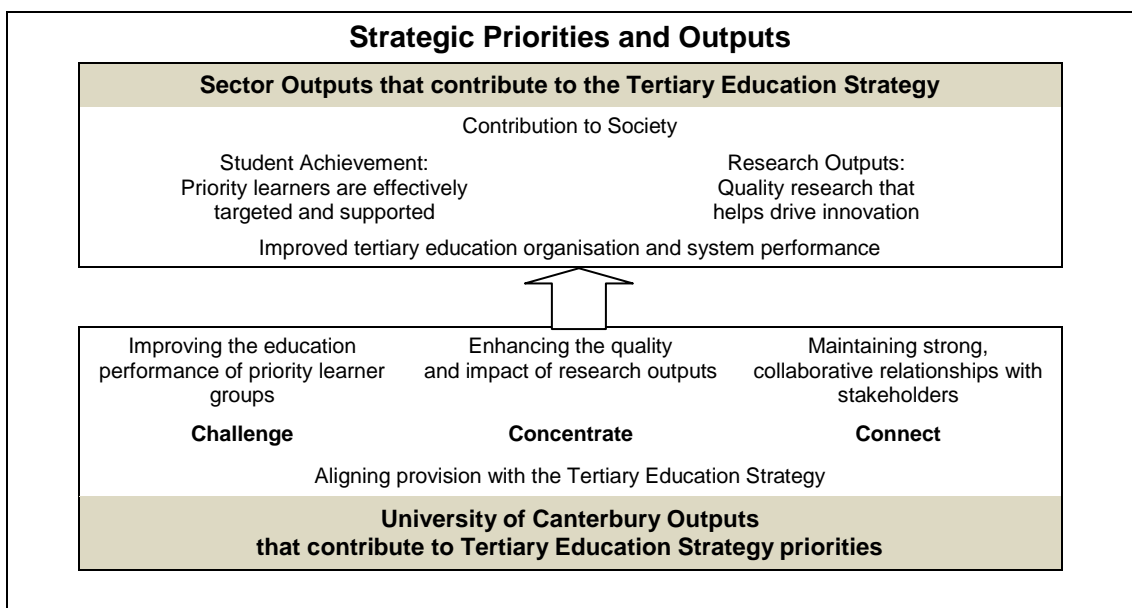
- Increase the number of Māori, Pacific and young people (aged under 25) achieving qualifications at higher levels
- Increase the number of young people moving successfully from school into tertiary education
- Improve the educational and financial performance of providers
- Strengthen research outcomes
- Improve literacy, language and numeracy skills and outcomes from levels one to three study

Universities are expected to contribute to achieving each of these priorities, with the exception of improving literacy, language and numeracy and skills. Reflecting this, and taking account of Tertiary Education Commission requirements, universities are expected to give strategic emphasis over this planning period to the following outputs:

- Aligning provision with Tertiary Education Strategy priorities
- Improving the educational performance of priority learner groups
- Enhancing the quality and impact of University research outputs

These align with the key themes of Challenge and Concentrate from the University's Statement of Strategic Intent. Extending this to incorporate the Connect theme from the Statement of Strategic Intent, the University has chosen to add a fourth priority to these three, namely maintaining strong collaborative relationships with stakeholders. This is consistent with the expectation that universities will give attention to links with industry and communities and will maintain strong international connections.

In achieving these outputs the University delivers high quality, relevant courses and qualifications, carries out high-quality research and engages with stakeholders. In the process it seeks to be known as a university where knowledge is created, critiqued, disseminated and protected and where research, teaching and learning take place in ways that are inspirational and innovative. Relevant inputs for achieving this are people (staff and students), funding and infrastructure. Reflecting the University's Statement of Strategic Intent, the overall objective is to promote a world-class learning environment known for attracting people with the greatest potential to make a difference.



The way in which strategy and tactics will be aligned to achieve this over the period of this plan is shown in the Outcome Framework diagram (following). The alignment between strategy and structure is further shown in Appendix 4 (Contributing to the Tertiary Education Strategy by Promoting a World-class Learning Environment).

## OUTCOMES FRAMEWORK

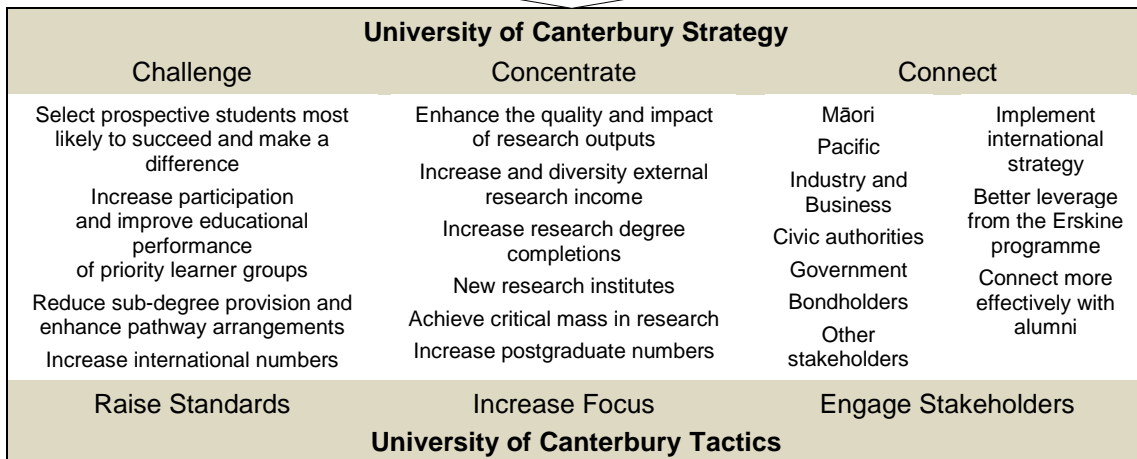
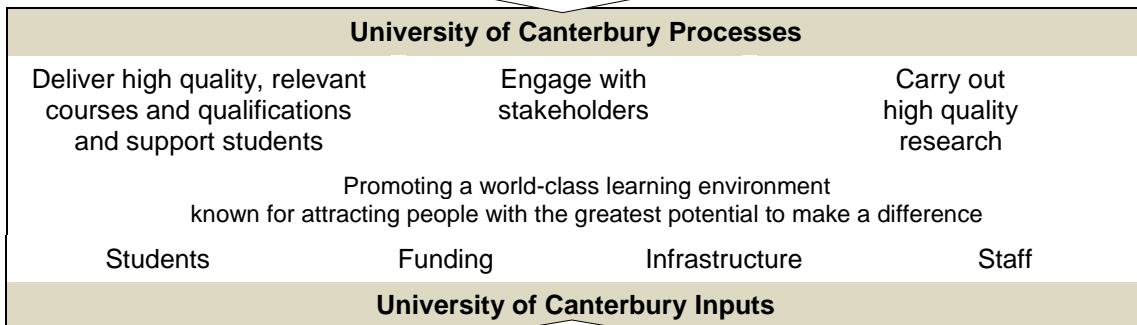
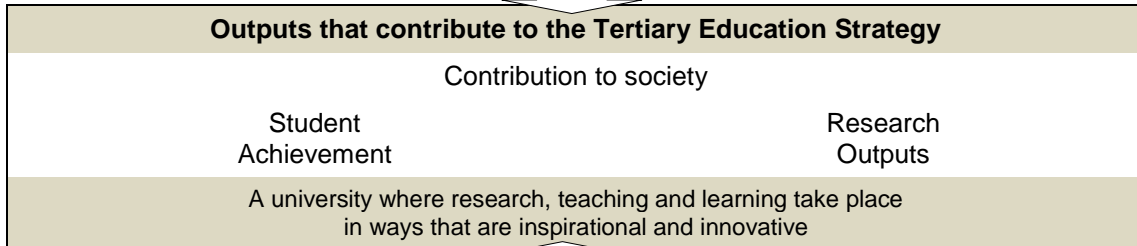
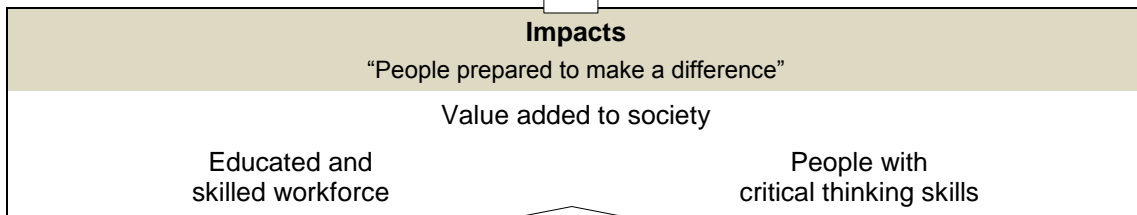
In 2008, the Auditor-General published a discussion paper setting out observations on the overall quality of performance reporting in the state sector and expressing a determination to improve this aspect of public accountability.<sup>6</sup> In responding to the implications of this for the university sector, the Tertiary Education Commission and Universities New Zealand (formerly the New Zealand Vice-Chancellors' Committee) established a joint working group to prepare a framework and guidelines for reporting on outcomes that would provide a shared view of the universities' national contribution and inform the preparation of Investment Plans for the next planning period. The resulting framework was endorsed by the Tertiary Education and Universities New Zealand in June 2010 and has been used to frame the content of this Investment Plan, as will be seen in the following diagram.

### Educational Outcomes

Empirical studies repeatedly confirm that individuals with university education enjoy higher lifetime earnings, shorter periods of unemployment and higher health status. As the Tertiary Education Strategy 2010-15 notes: "Access to a high-quality tertiary education system enriches people's lives, increases their employment opportunities and helps to build a productive skills base to drive economic growth." This is confirmed by a 2010 report from the Ministry of Education. Using data from the 2008 New Zealand General Social Survey, the report explored how a range of 30 social and economic indicators varied with education. The report found that for New Zealanders aged 25 to 64, education was positively associated with higher income (strongly) and rates of employment (moderately); higher economic standard of living (moderately); good health (strongly); higher tolerance of immigrants, different values, ways of living, and ethnic diversity (moderately to strongly); volunteering (moderately); incidence of voting (moderately for New Zealand-born only); living in a household that recycles (moderately); overall satisfaction with life (weakly to moderately); and feelings of depression (weakly).

<sup>6</sup> "The Auditor-General's Observations on the Quality of Performance Reporting, June 2008 (ISBN 978-0-478-32609-3).

# Outcomes Framework



Many of the wider benefits associated with having a tertiary qualification remained after adjusting for the effects of income, age, gender, and whether respondents were born in New Zealand or not. Adults without educational qualifications faced significant disadvantage across many non-economic indicators, as well as across indicators such as employment and income.<sup>7</sup> These are outcomes of significance that are produced by the tertiary sector, including the University of Canterbury.

## **ENVIRONMENTAL CONTEXT<sup>8</sup>**

Implementing this Investment Plan will be dependent on understanding key aspects of the environment within which the University operates.

### **Economic Outlook**

From mid-2008, the New Zealand economy contracted significantly due to the global financial crisis and local recession. This had the effect of reducing government income at the same time as the costs of social welfare and debt servicing were increasing. With growing demands on social welfare and public health care systems, largely as a result of an ageing population, this inevitably led to structural cuts in other areas of government expenditure. With the government intent on allowing automatic stabilisers to increase debt in the short-term for fear of destabilising economic recovery, it is clear that from 2011 the government will be seeking to reduce public expenditure on higher education as a proportion of gross domestic product (GDP). This is a sharp turnaround in public policy, after a decade of growth in public expenditure on universities.

As a result of the recession, unemployment rose sharply during 2009. This contributed to an increase in demand for university places. Despite being committed to retaining broad access to tertiary education, fiscal constraints have meant that the government has been unable to provide additional funding of any significance to meet this growing demand.

The indications are that fiscal constraints will continue over the period of this Plan. As a result, tertiary education institutions are required to manage costs, work within existing resources, continue to seek efficiency gains, ensure the qualifications they offer best meet student and employer needs and explore additional sources of revenue. A key driver for improving the efficiency of public investment in tertiary education is to improve course and qualification completion rates, hence the decision by the Tertiary Education Commission that from 2012 a portion of Student Achievement Component (SAC) funding will be linked to performance against a designated set of educational performance indicators.<sup>9</sup> Allied to this, the government intends to move investment away from funding low quality courses (i.e., those with low completion rates or poor educational or labour market outcomes) to fund growth in high-quality qualifications that will benefit New Zealanders and contribute to economic growth. In addition to this, participation rates for priority learner groups - Māori, Pacific and students aged under-25 - need to increase and success rates need to improve, especially at higher levels of study. Universities in particular also need to significantly reduce their sub-degree provision.

### **Labour Market and Skills**

The labour market is currently characterised by relatively high levels of unemployment. This has reduced the opportunity cost of entering or remaining in tertiary education and has increased the demand for university places at a time when a capped funding regime is putting

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<sup>7</sup> See [http://www.educationcounts.govt.nz/publications/tertiary\\_education/78889](http://www.educationcounts.govt.nz/publications/tertiary_education/78889)

<sup>8</sup> Material for this section has been drawn from reports prepared by two University of Canterbury senior managers - Professor Nigel Healey, PVC of the College of Business and Economics and Dr Nigel Johnson, Director of Research & Innovation. These reports are available separately if required.

<sup>9</sup> These education performance indicators are successful course completion, qualification completion, student retention and progression. These are discussed in greater detail later in the Plan.

pressure on universities to manage enrolments within agreed plans. As the recovery gains strength, the greater availability of job opportunities will hopefully reduce this pressure.

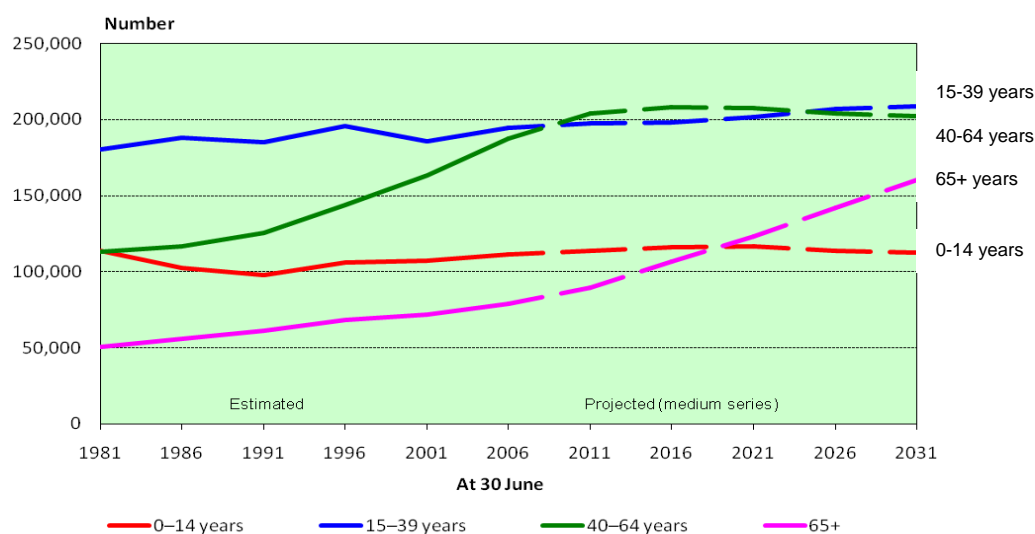
In common with all advanced market democracies, New Zealand has become a service-based economy. Public perceptions are distorted by the country's well-known reliance on agriculture as the source of 50% of its export earnings. As a proportion of gross domestic product in 2009, however, agriculture accounted for only 4.9% of GDP and fishing, forestry and mining 2.6%. In contrast, finance, insurance and business services accounted for 29% of gross domestic product, ahead of manufacturing at 12.3%.

Immigration New Zealand has provided a useful guide to the country's long-term skill shortages by identifying 61 occupations where there are established labour market shortages. Of these, 48 require higher education qualifications - undergraduate or, in some cases, postgraduate. These occupations include architects, auditors, engineers, health professionals and multimedia designers. Higher education provides the only way of meeting these skill shortages. Of the remaining 13 occupations, all but one (general electrician) require tertiary vocational qualifications. Universities are expected to increasingly meet the employment needs of industry.

### Population

The rate of population growth for the Canterbury region is expected to slow over the next 20 years. The current population of 591,800 is expected to average around 0.7% growth per annum, with this slowing progressively over the period. The following graph shows projected population growth by age group.

Figure: Projected population of Canterbury Region by age group



Source: Statistics New Zealand

Critically, what this graph shows is that almost all of the net population growth in the Canterbury region is expected to occur in the 65+ age group. This mirrors broader trends within the New Zealand population. The key groups for the University are the 0-14 year olds (as a leading indicator of medium-term demand for tertiary education) and the 15-39 year olds. As will be seen from the graph, both of these groups are expected to show little or no growth over the next 20 years.

While population trends might suggest little change in the demand for higher education across the Canterbury region, there are changes taking place in the ethnic composition of the population. Projecting such changes is quite complex, reliant as it is on assumptions relating to fertility, mortality, net migration and inter-ethnic mobility, all of which vary by ethnic group and across time. Such ethnic projections are not available at a regional level, but the

following table shows that on the basis of medium-term assumptions, the Pakeha population nationally is expected to decline proportionately over the next 15 years with corresponding increases in Māori, Pacific and Asian populations.

Table: Projected Ethnic Composition of New Zealand Population: 2007-2026

	<b>Pakeha</b>	<b>Māori</b>	<b>Pacific</b>	<b>Asian</b>
<b>2007</b>	70.3%	13.8%	6.7%	9.2%
<b>2011</b>	68.5%	14.0%	7.1%	10.4%
<b>2016</b>	66.4%	14.2%	7.7%	11.7%
<b>2021</b>	64.4%	14.4%	8.2%	13.0%
<b>2026</b>	62.5%	14.6%	8.7%	14.2%

**Source:** Statistics New Zealand

The significance of these shifts derives from the fact that participation in higher education varies significantly by ethnicity. An analysis of university participation rates reveals that in the two age groups of greatest significance to universities, 18-19 year old school leavers and 20-24 year olds, participation is highest among Asians by a considerable margin. This suggests that despite limited population growth, changes in population structure may nevertheless result in increased participation rates for some ethnic groups. Such an analysis also highlights the significant challenge of improving higher education participations rates of Pacific peoples and Māori. In relation to the latter, fewer than 10% of all 18-24 year-old Māori are involved in higher education.

#### Globalisation and the International Markets for Students and Staff

Between 2000 and 2004 there was a rapid increase in the number of international students studying at tertiary level in New Zealand. In proportional terms this represented an increase from 5.5% to 14.0% of total enrolments. Overall, international enrolments (EFTS) more than trebled in these four years at a time when domestic enrolments were also increasing. This growth proved to be unsustainable and international student enrolments subsequently contracted to around 10% of the total.

The internationalisation of New Zealand tertiary education was distorted by a surge in enrolments from China which began to grow strongly from 2000. As student numbers from China rose in the first half of the decade, numbers from the rest of the world declined. The latter has begun to recover since 2005, although the growth in total enrolments from the rest of the world is dwarfed by the slump in Chinese enrolments since its peak in 2004.

New Zealand universities have seen overall international enrolments decline since 2004 despite the fact that the global market for international students has continued to grow strongly. There is considerable scope to recover a share of this market, but export education is relatively underdeveloped in New Zealand and the market leaders, Australia and the United Kingdom, are under financial pressure to increase international enrolments. Meanwhile the largest destination country, the United States of America, is again beginning to actively recruit international students after a prolonged period of inactivity following the events of September 2001.

Given the widespread use of English as a medium of both instruction and international science, academic staff operate in a global labour market. Only 54% of the 5,271 academic staff working in New Zealand at the 2006 Census were New Zealand born, with the largest source country for immigrant academics being the United Kingdom (1,569 staff). Of the foreign-born staff, 42% had been in New Zealand less than 10 years, suggesting a high degree of international mobility. Low academic salaries and less generous superannuation schemes relative to the main competitor countries (Australia, United Kingdom, United States of America and Canada) have made it hard for New Zealand universities to attract and retain the best academic staff. The situation has temporarily improved as a result of United Kingdom

and United States public universities being badly affected by severe cuts in public expenditure. Competing with better funded Australian universities, however, remains a major challenge for New Zealand universities.

### Research Funding

The global financial crisis has also had a negative impact on research funding. In the private sector, financial stringency has often meant that research is seen by companies as a discretionary investment to be put on hold until better times. Governments have increased their debt levels through stimulation packages aimed at minimising the effects of the financial crisis, and are now drastically cutting their own spending. Government departments which have been significant purchasers of research in the past are therefore also reducing their research investments. While the University's research revenue is facing challenges as a result of this, there nevertheless are opportunities if the University can position itself and respond appropriately in anticipation of an eventual economic recovery.

### *Government Policy and initiatives*

The New Zealand government has signalled a strong belief in the role of science and innovation as critical drivers of economic recovery. This is one of the six main policy planks at the heart of the government's plans for lifting New Zealand's economic performance. The government has held or slightly increased its funding for research and innovation via funding agencies (i.e., Marsden, FoRST, MoRST, TechNZ, HRC). However, government wants to see that this investment is delivering the desired benefits to New Zealand and is placing greater emphasis on mechanisms that will deliver that benefit. More government funding has been directed to industry through the new Technology Development Grants and R&D Voucher schemes, and the government is seeking to achieve greater scale in the commercialisation resources of Publicly Funded Research Organisations through new funding for a National Network of Commercialisation Centres. It appears likely that the University will be involved in the pilot of the voucher scheme. Industry expectations of receiving agreed outputs within tight timeframes is challenging for universities, however, since research capability is often dependent on individual academics who have other demands on their time. This issue is of special relevance to consultancy work but also applies to contract research. It is likely that full-time professional researchers in the Crown Research Institutes (CRIs) will take the lion's share of government funding being made available via companies. Many academics will need to be better attuned to industry needs and timeframes and build larger teams in order to benefit fully from these initiatives. Closer connections with the CRIs will need to be developed in order to secure access to these funds.

The government is also seeking greater efficiency in the innovation system and wants to reduce duplication and the administrative burden of competitive funding systems. Attempts to simplify the system include less micro-management by agencies through pushing project management and performance monitoring onto research providers. This will mean increased administration costs for providers, but also represents an opportunity to enhance reputations if this can be done well.

The merger of MoRST and FoRST into MSI (Ministry of Science and Innovation) may lead to further changes in the funding system for science and technological research and will bring new faces with whom the University will need to develop relationships.

### *Integrated Innovation System*

Acknowledging that significant advances are being made at the interface of different disciplines, there is an appetite for larger collaborative research programmes that tackle the major issues facing the nation. The government is moving towards a more integrated National Innovation System where all the players have a clear role and are working together to achieve national objectives. This is evidenced by the government's rapid adoption of the CRI Taskforce recommendations. This will have a major impact on research funding in the domains of science and engineering in particular. Increased core funding for CRIs will likely

lead to a reduction in the pool of contestable funds available to university researchers but, on the other hand, there is potential for CRIs to sub-contract university researchers and support postgraduate scholars to assist them achieve their new Core Purposes. A related international trend is a move in research institutions, including universities, to a more top-down strategic approach to research activities rather than individual researchers choosing their own fields and topics for research. The University will need to be sensitive to this.

#### *International Opportunity*

In spite of current strong government support for research and innovation, there is still a limited amount of research funding available in New Zealand with lots of parties competing for this scarce resource. While the economic situation may well be worse in many other countries, there are still vastly greater opportunities on a global basis, but only for those who are world-class in particular specialist areas. Most governments prefer to fund research providers in their own countries, but there are opportunities to partner with local providers and act as sub-contractors on research projects. This includes European Union funding programmes where the University has already had significant success.

Multi-national corporations look for the best and most cost-effective research providers world-wide. They are also attracted to researchers with international connections. New Zealand is a relatively cheap provider of research capability in this regard. The University conducts world-class research in many areas and already has strategic alliances with IBM, Hewlett Packard, and now Microsoft. There are opportunities here to secure significant funding in some areas, but initiating, developing and maintaining such relationships requires significant effort and commitment. The major philanthropic foundations (e.g., Clinton Foundation, Gates Foundation) also provide significant opportunities. This requires a focussed effort to understand philosophies and intentions, develop a strategy and then build appropriate relationships. This will be taken into account as the University develops strategies for securing international research funds as part of its overall approach to internationalisation.

### **PLANNING TO MAKE A DIFFERENCE**

Since its founding, the University of Canterbury and its people have made a difference locally and globally. Proud of that past, the University looks to the future with a commitment to blend the best of tradition with the inspiration and innovation necessary for success in a changing world. People are crucial to this process – people who are prepared to make a difference.

We will make a difference by the diligence we bring to our studies; the passion and rigour we bring to our teaching and research; the inclusiveness and transparency we bring to our decision-making; the pride we bring to our administrative tasks; the dedication we bring to service; and the courtesy, collegiality and respect we bring to our interactions.

We will make a difference to our city, region and nation by the quality of our graduates; the relevance, excellence and impact of our research; the inspiration of our creative arts; the positive impact of our collaboration with others; the strength of our bonds with community, business, industry, and government; and the leadership we show in Treaty and equity issues.

We will make a difference internationally by enhancing the our well-established tradition of world-class research and scholarship; working with selected overseas institutions; providing a welcoming destination for international students, and sending out well-equipped graduates who are prepared to make their mark on the world stage.

We have a vision of graduates who are culturally confident and competent in a bi-cultural New Zealand and on a multi-cultural world stage. We have a vision of a world-class learning environment connected to local institutions and the world. We believe in the Canterbury region as plains of knowledge where higher education contributes to stability and prosperity.

# **Summary of Activity and Performance Commitments**

## **Forecast Statement of Service Performance**

### **Priority Objective 1**

Aligning provision with  
Tertiary Education Strategy priorities

### **Priority Objective 2: Challenge**

Improving the educational performance  
of priority learner groups

### **Priority Objective 3: Concentrate**

Enhancing the quality and impact  
of research outputs

### **Priority Objective 4: Connect**

Maintaining strong, collaborative and  
mutually beneficial relationships with stakeholders

## Priority Objective 1: **Aligning provision with Tertiary Education Strategy priorities**

### **Contribution to the Tertiary Education Strategy**

In line with priorities in the Tertiary Education Strategy, universities are expected to increase participation rates of Māori, Pacific and younger learners under 25, especially at higher levels. Our commitment to achieving this is shown in the range of activities and performance commitments that follow.<sup>10</sup> We will also focus on creating pathways and providing support to increase the number of young people moving successfully from school into tertiary education, reducing sub-degree provision and strengthening international linkages.

### **How we will achieve this objective**

1. We will increase our Māori and Pacific student numbers by:
  - a. More effective market research, recruitment and liaison
  - b. As resources allow, offering a greater number of targeted scholarships to allow appropriately qualified first-year Māori and Pacific students to study full-time
  - c. Strategically focusing our engagement with secondary schools and other providers to develop effective pathways for appropriately qualified Māori and Pacific students to enter university study
  - d. Making the goal of becoming the university of choice for Māori and Pacific students from the region a particular focus of engagement with iwi and Pacific communities
2. We will increase our number of younger learners under 25 by:
  - a. Prioritising them when making admission and enrolment decisions<sup>11</sup>
  - b. Developing strong relationships with other tertiary providers and schools in order to develop effective pathways and prepare under-qualified students for university study
3. We will reduce our sub-degree provision by streamlining our Bridging Programme and redirecting under-qualified enquirers, especially those between 20 and 24 years of age, to other providers as appropriate
4. We will recruit and retain increasing numbers of well-qualified international students while diversifying the source countries from which they come by bringing a greater degree of strategic focus to our international marketing and recruitment efforts

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<sup>10</sup> In relation to strategies to increase participation rates and educational performance of Māori and Pacific students, it should be noted that these will be aided by outcomes from the review of the AVC Māori portfolio and also the review of the Macmillan Brown Centre for Pacific Studies and Library. Both these reviews will have been completed by the end of 2010 and will have an impact from 2011 onwards.

<sup>11</sup> As far as possible, though, this will not be at the expense of older learners from under-represented groups, especially Māori and Pacific.

## How progress will be measured<sup>12</sup>

Progress in achieving this priority objective will be measured against the following performance commitments.

Priority Learner Group participation		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Increased participation by priority learner groups	Māori enrolments	6.3%	6.4%	7%	7%	8%
	Pacific enrolments	2.1%	2.1%	2%	3%	3%
	Under-25 enrolments	74.0%	73.4%	74%	75%	77%

Māori and Pacific pathways		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced Māori and Pacific pathways into tertiary study	First-year Māori enrolments as a proportion of first-year domestic enrolments <sup>13</sup>	6.9%	6.8%	7%	7%	8%
	First-year Pacific enrolments as a proportion of first-year domestic enrolments <sup>14</sup>	2.0%	1.9%	2%	2%	3%

Sub-degree provision		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Reduced sub-degree provision	Sub-degree enrolments as a proportion of all enrolments	2.4%	1.7%	1.5%	1.3%	0.0%

International (Full Fee) Participation		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Increased and more diversified international (full fee) participation	International enrolments	9.0%	8.4%	8%	9%	10%
	Concentration ratio (C3) <sup>15</sup>	53.3%	51.9%	50%	48%	45%

Pathways		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced pathways into university study	Number of active articulation agreements related to credit transfer within NZ <sup>16</sup>	3	3	5	7	9
	Number of students transferring with credit from other TEOs	409	430	440	450	460

Scholarship Support – Freshers		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced scholarship support for beginning students	Undergraduate scholarships for fresher students	210 \$809,500	240 \$925,200	245 \$944,475	250 \$963,750	255 \$983,025
	Targeted scholarships for under-represented freshers	11 \$55,000	11 \$55,000	13 \$65,000	14 \$70,000	15 \$75,000

<sup>12</sup> In line with TEC requirements, participation rates in these commitments, with the exception of international, relate to Level 4 and above SAC eligible enrolments. Relevant EFTS can be found in the Supplementary Material section at the end of the Plan.

<sup>13</sup> At the 2006 Census, 7.3% of the Canterbury Region population identified as Māori (c.f., New Zealand 14.6%). Of Canterbury Region school leavers who left school in 2008 with a university entrance qualification, 5.5% identified as Māori. In 2010, 6.8% of the University's First-Year-in-Tertiary students identified as Māori.

<sup>14</sup> At the 2006 Census, 2.3% of the Canterbury Region population identified as Pacific (c.f., New Zealand 6.9%). Of Canterbury Region school leavers who left school in 2008 with a university entrance qualification, 1.4% identified as Pacific. In 2010, 1.9% of the University's First-Year-in-Tertiary students identified as Pacific.

<sup>15</sup> The C3 Concentration Ratio is a measure of the proportion of the University's international (full fee) student body contributed by the three largest source countries. Reducing the ratio mitigates the risk of over-exposure to a few source countries. In 2009 and 2010 the three largest contributing countries were the United States of America, China and Malaysia.

<sup>16</sup> In 2009 and 2010 the three active New Zealand articulation agreements were with Christchurch Polytechnic Institute of Technology, Waiariki Institute of Technology and Whitireia Polytechnic.

## Priority Objective 2: Challenge

### **Improving the educational performance of priority learner groups**

#### **Contribution to Tertiary Education Strategy**

In line with priorities in the Tertiary Education Strategy, universities are expected to improve the educational performance of learners, especially priority learner groups (i.e., Māori, Pacific and younger learners under 25). This will be measured by performance against the Tertiary Education Commission's educational performance indicators, principally successful course completions, qualification completions and student retention. Our commitment to achieving this is shown in the range of activities and performance commitments that follow.<sup>17</sup>

#### **How we will achieve this objective**

1. We will improve the educational performance of Māori and Pacific students by:
  - a. Monitoring their academic performance and providing appropriate evidence-based mentoring, support and intervention, especially for those in their first year of tertiary study and/or who are first-in-family
  - b. As resources allow, offering a greater number of targeted scholarships for continuing Māori and Pacific students to study full-time, especially as they progress into higher levels of study
2. We will improve the educational performance of under-25 students by:
  - a. Screening on entry to ensure they are given appropriate academic advice and are prepared for university study
  - b. Monitoring their academic performance and providing appropriate evidence-based support and intervention, especially for those in their first year of tertiary study and/or who are first-in-family
3. We will reinforce our commitment to maintaining standards of academic excellence by continuing to apply firm but fair academic progression standards to all under-performing students
4. In line with our commitment to promote a world-class learning environment, we will ensure that our students increasingly see the University and its staff as supporting their learning and enhancing their prospects of academic success by providing quality teaching spaces, learning infrastructure and support systems
5. We will ensure that our staff have the necessary capacity to respond in a supportive way to diverse learning needs by enhancing our professional development programmes

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<sup>17</sup> There may be adverse impacts on the University's participation, completion and retention rates if there is a perception that it has suffered a setback in the quality of its learning environment as a result of the earthquake of 4 September 2010. Such a risk will be mitigated as far as possible.

## How progress will be measured

Progress in achieving this priority objective will be measured against the following performance commitments.

Successful Course completion <sup>18</sup>		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Increased successful course completions by priority learner groups	Māori completion rates	74.2%	77%	78%	78%	80%
	Pacific completion rates	60.4%	63%	63%	64%	65%
	<25 completion rates	83.1%	83%	84%	84%	85%
	<b>All SAC eligible students</b>	<b>83%</b>	<b>83%</b>	<b>84%</b>	<b>84%</b>	<b>85%</b>
	<i>NZ university median</i>	<i>84%</i>				

Qualification completion <sup>19</sup>		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Increased qualification completions by priority learners	Māori completion rates	61.2%	63%	65%	67%	70%
	Pacific completion rates	37.2%	40%	42%	44%	46% <sup>20</sup>
	<25 completion rates	59.3%	59%	62%	65%	70%
	<b>All SAC eligible students</b>	<b>66%</b>	<b>66%</b>	<b>69%</b>	<b>72%</b>	<b>75%</b>
	<i>NZ university median</i>	<i>66%</i>				

Retention <sup>21</sup>		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Increased retention of priority learner groups	Māori retention rates	79.2%	79%	80%	80%	81%
	Pacific retention rates	72.8%	73%	74%	74%	75%
	<25 retention rates	87.9%	88%	88%	89%	89%
	<b>All SAC eligible students</b>	<b>84%</b>	<b>84%</b>	<b>84%</b>	<b>85%</b>	<b>85%</b>
	<i>NZ university median</i>	<i>83%</i>				

Student Engagement		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Improved student engagement (AUSSE) <sup>22</sup>	Active learning	33%	33%	34%	35%	37%
	Student staff interactions	18%	18%	20%	21%	23%
	Supportive learning environment	55%	55%	56%	56%	57%

Scholarship Support – Continuing Students		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced scholarship support for undergraduate continuing students	Scholarships for undergraduate continuing students	121 \$340,150	124 \$372,000	127 \$381,000	130 \$390,000	135 \$405,000

<sup>18</sup> **Successful Course Completion:** SAC eligible successful course completion EFTS, as a proportion of the total SAC eligible EFTS delivered.

<sup>19</sup> **Qualification Completion:** Qualifications completed by SAC eligible students, weighted by the EFTS value of the qualification, as a proportion of total SAC eligible EFTS enrolled in qualifications.

<sup>20</sup> It is the University's long-term intention to get Pacific qualification completion rates to at least 50% if not higher. This 2013 target simply represents a step along the way.

<sup>21</sup> **Student Retention:** The proportion of SAC eligible students in a year who either re-enrol in the next year or complete a qualification.

<sup>22</sup> Background to the AUSSE survey and these output commitment measures can be found in the Supplementary Material section at the end of the Plan.

## Priority Objective 3: Concentrate Enhancing the quality and impact of research outputs

### **Contribution to the Tertiary Education Strategy**

In line with priorities in the Tertiary Education strategy, universities are expected to enhance the quality and impact of their research outputs. Relevant indicators here are research degree completions and external research income. Our commitment to achieving these aims is shown in the range of activities and performance commitments contained in this section. Also of significance is a proposed increase in our postgraduate participation rates, especially postgraduate research numbers.

### **How we will achieve this objective**

1. We will increase and diversify the sources of our external research income by bringing a greater degree of strategic focus to our research efforts
2. We will maintain our top-three position in the 2012 PBRF round by completing the implementation of our PBRF strategy
3. We will stimulate technology transfer and commercialisation by staff and students by creating an innovative culture within the University and connecting more effectively with business
4. We will enhance our reputation as a top research-led university by maximising the benefit of national and international research collaborations with other leading tertiary institutions and research organisations
5. We will increase research degree completions and consolidate the reputation of our postgraduate programmes by strengthening pathways into postgraduate study and increasing levels of support for research students
6. We will increase develop research programmes that advance Māori knowledge, culture and identities, reflect kaupapa Māori perspectives and contribute to Māori development aspirations
7. We will contribute to economic development and innovation by:
  - a. Providing qualifications that respond to the changing needs of business and industry
  - b. Providing research training, critical thinking and entrepreneurship skills within research degrees
  - c. Preparing learners with the graduate attributes they need for a successful career in their chosen fields

## How progress will be measured

Progress in achieving this priority objective will be measured against the following performance commitments.

Research Outputs		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Increased research degree completions and external research income	Number of research degree completions	336	350	365	385	400
	External research income	\$25.1m	\$24.7m	\$25.9m	\$27.2m	\$28.5m

Postgraduate enrolments <sup>23</sup>		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Increased postgraduate enrolments as a % of total EFTS	Postgraduate taught EFTS	6.7%	6.8%	7.1%	7.5%	7.9%
	Postgraduate research EFTS	6.5%	7.0%	7.0%	8.5%	10.5%
	<b>Total postgraduate EFTS</b>	<b>13.2%</b>	<b>13.8%</b>	<b>14.1%</b>	<b>16.0%</b>	<b>18.4%</b>

Māori and Pacific Research Students		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Increased postgraduate enrolments on the part of key priority learner groups	Māori postgraduate research students as a proportion of total Māori EFTS	3.3%	3.5%	3.9%	4.6%	5.6%
	Pacific postgraduate research students as a proportion of total Pacific EFTS	4.1%	4.7%	5.0%	5.7%	6.6%

Work integrated learning		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Improved work integrated learning (AUSSE) <sup>24</sup>	Work integrated learning	37%	37%	38%	39%	40%

Scholarship Support – Research Students		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced scholarship support for research students	Research scholarships awarded by the University	383 \$5.4m	393 \$5.7m	398 \$5.9m	403 \$6.3m	408 \$6.9m
	Targeted research scholarships for under-represented groups	10 \$87,500	10 \$87,500	11 \$102,500	12 \$117,500	13 \$132,500

<sup>23</sup> Relevant EFTS can be found in the Supplementary Material section at the end of the Plan.

<sup>24</sup> Background to the AUSSE survey and this output commitment measure can be found in the Supplementary Material section at the end of the Plan.

## Priority Objective 4: Connect

### **Maintaining strong, collaborative and mutually beneficial relationships with stakeholders**

#### **Contribution to the Tertiary Education Strategy**

In line with priorities in the Tertiary Education Strategy universities are expected to be responsive to the needs of learners, their communities, industry and employers. Universities are also expected to focus on ensuring that international linkages continue to be strengthened, especially insofar as these bring added value for research, teaching and learning and economic development. Our commitment to achieving this is shown in the range of activities and performance commitments that follow.

#### **How we will achieve this objective**

1. We will contribute more effectively to the economic, social and cultural development of New Zealand by developing and implementing a robust stakeholder engagement strategy
2. We will make a significant contribution to regional and national Māori educational and development aspirations by maintaining and building strong partner relationships with Te Rūnanga-o-Ngāi Tūāhuriri (mana whenua), Ngāi Tahu (tangata whenua), Ngā Mātā Waka Māori and other Māori groups
3. In line with the University's Pacific Plan, we will ensure that Pacific engagement with higher education is strengthened by connecting with Pacific communities, agencies and other educational providers
4. We will contribute to regional development and environmental enhancement by building strong partnerships with industry groups and local bodies and being more responsive to their needs
5. We will enhance philanthropic support and job prospects for our graduates by building strong relationships with alumni, friends and supporters
6. We will extend and enhance our reputation as a top research-led university by continuing to build effective international networks, especially through the use of University visiting fellowships and outgoing awards<sup>25</sup>

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<sup>25</sup> Visiting fellowships comprise Erskine fellowships, Oxford fellowships, Cambridge fellowships and Canterbury Visiting Fellowships. These enable distinguished overseas scholars to visit the University. Outgoing awards comprise Oxford awards, Cambridge awards and Erskine awards. These enable University of Canterbury staff to visit overseas institutions.

## How progress will be measured

Progress in achieving this priority objective will be measured against the following performance commitments.

Engagement with Māori		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced engagement with Māori	Regular discussions with mana whenua, tangata whenua and other Māori groups	Achieved	Achieved	Achieved	Achieved	Achieved

Engagement with Pacific Communities		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced engagement with Pacific communities	Regular meetings of the Pacific Peoples' Advisory Group	Achieved	Achieved	Achieved	Achieved	Achieved

Staff engagement and satisfaction		Actual 2009	Forecast 2010	Targets		
Impact	Output commitments			2011	2012	2013
Feedback from staff surveys <sup>26</sup>	Passion Index/engagement	73%	73%	74%	74%	75%
	Progress Index/satisfaction	53%	53%	54%	54%	55%

Relationship with Alumni and Supporters		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Strengthened relationships with alumni and supporters	Total income through UC Foundation	\$3.9m	\$4.0m	\$4.3m	\$4.5m	\$4.8m
	Number of alumni and proportion with current addresses	110,067 43%	112,290 46%	114,600 48%	114,900 50%	119,200 52%

International Engagement		Actual 2009	Forecast 2010	Targets		
Impact	Input commitments			2011	2012	2013
Enhanced international networks <sup>27</sup>	Visiting Fellowships awarded	71	70	74	76	78
	Take-up of Outgoing awards	32	22	22	22	24

<sup>26</sup> Details of staff surveys are provided in the Supplementary Material section at the end of the Plan. Benchmark comparisons are available from some 23 Australasian universities. These show that the Australasian benchmark for the Passion index is 72% while for the Progress Index it is 54%. The University compares well in both regards.

<sup>27</sup> Fellowships and outgoing awards comprise Erskine fellowships and awards, Oxford fellowships, Cambridge fellowships and Canterbury Visiting Fellowships.



# Supplementary Material

## MIX OF PROVISION

Mix of provision figures for 2011-2013 have been provided separately to the Tertiary Education Commission. Relevant EFTS summaries are provided below.

SAC Eligible Participation by Qualification Level (EFTS)	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Sub-degree	333	2.4%	240	1.7%	2%	1%	0%
2. Undergraduate	11,719	84.5%	11,906	84.5%	84%	83%	82%
3. Postgraduate Taught	923	6.7%	952	6.8%	7%	7%	7%
4. Postgraduate Research	895	6.5%	991	7.0%	7%	9%	11%
<b>Total SAC eligible EFTS</b>	<b>13,871</b>	<b>100%</b>	<b>14,090</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Māori SAC Eligible EFTS	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Sub-degree	33	3.8%	25	2.7%	2%	1%	0%
2. Undergraduate	767	87.8%	797	87.0%	87%	87%	86%
3. Postgraduate Taught	45	5.1%	62	6.8%	7%	7%	8%
4. Postgraduate Research	29	3.3%	32	3.5%	4%	5%	6%
<b>Total Māori EFTS</b>	<b>874</b>	<b>100%</b>	<b>916</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Pacific SAC Eligible EFTS	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Sub-degree	24	8.1%	18	6.0%	4%	2%	0%
2. Undergraduate	247	83.7%	252	84.3%	86%	87%	86%
3. Postgraduate Taught	12	4.1%	15	5.0%	5%	5%	6%
4. Postgraduate Research	12	4.1%	14	4.7%	5%	6%	7%
<b>Total Pacific EFTS</b>	<b>295</b>	<b>100%</b>	<b>299</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Under 25 SAC Eligible EFTS	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Sub-degree	215	2.1%	119	1.1%	1%	0%	0%
2. Undergraduate	9,353	91.1%	9,498	91.9%	92%	91%	89%
3. Postgraduate Taught	473	4.6%	475	4.6%	5%	6%	7%
4. Postgraduate Research	230	2.2%	248	2.4%	2%	3%	4%
<b>Total Under 25 EFTS</b>	<b>10,270</b>	<b>100%</b>	<b>10,341</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Postgraduate SAC Eligible EFTS	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Postgraduate Taught EFTS	923	50.8%	952	49.0%	50%	48%	46%
2. Master's Thesis EFTS	326	17.9%	383	19.7%	19%	20%	21%
3. Doctoral EFTS	570	31.3%	608	31.3%	31%	32%	33%
<b>Total Postgraduate EFTS</b>	<b>1,818</b>	<b>100%</b>	<b>1,944</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
<i>International Postgraduate EFTS</i>	258	14.2%	317	16.3%	16%	17%	18%

International Full Fee EFTS	Actual 2009		Forecast 2010		Targets		
					2011	2012	2013
1. Sub-degree	224	16.4%	217	16.9%	14%	15%	16%
2. Undergraduate	1,056	77.3%	958	74.5%	76%	74%	71%
3. Postgraduate Taught	58	4.2%	85	6.6%	8%	9%	10%
4. Postgraduate Research	28	2.0%	26	2.0%	2%	2%	3%
<b>Total Full Fee EFTS</b>	<b>1,366</b>	<b>100%</b>	<b>1,285</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

## FINANCIAL INFORMATION

Financial Forecast measures from 10-year forecast model	2010	2011	2012	2013
Surplus	\$12.159m	\$9.220m	\$9.567m	\$10.035m
Return on Revenue	4.10%	3.01%	3.01%	3.03%

TEC Financial Monitoring Framework viability and sustainability metrics (as at February 2010)	Current	Future	2008 Actual	2009 Forecast	2010 Planned	2011 Planned
Overall Average viability	4.7	4.5	4.7	4.5	4.2	4.5
Overall average sustainability	4.0	2.8	4.0	3.2	3.2	2.8
Future risk assessment	Low	Low	Low	Low	Low	Low

Surplus and return on revenue targets for the planning period are all within the required range. It is expected that all bond covenants and TEC intervention criteria will be met satisfactorily. Issues of organisational efficiency are being addressed through the STAR (Supporting Teaching and Research) project and other initiatives (e.g., the Links project, review of small enrolled taught courses, firm but fair progression standards, demonstrable measurable research outputs, quality assured teaching etc.). The University's future risk assessment, as measured by TEC's Financial Monitoring Framework, is expected to remain low over the planning period.

### UC Capital Asset Management (CAM)

Capital Projects	Actual 2009	Forecast 2010	Targets		
			2011	2012	2013
School of Biological Sciences	\$18.0m	\$10.8m	\$13.2m	\$14.7m	\$8.2m
Science Lecture Theatres	-	-	\$1.5m	\$8.5m	\$2.0m
Engineering Precinct	-	\$3.0m	\$2.2m	\$11.0m	\$11.4m
College of Arts refurbishments	-	\$1.0m	-	\$1.0m	\$4.0m
Campus Master Plan	-	-	\$3.0m	\$10.9m	\$17.0m
Student Services and International	-	\$1.2m	\$0.1m	-	-
Other major capital projects			\$5.7m	\$1.0m	\$2.5m
<b>TOTAL</b>	<b>\$18.0m</b>	<b>\$16.0m</b>	<b>\$25.7m</b>	<b>\$47.1m</b>	<b>\$45.1m</b>

The bulk of capital expenditure over the period of the Plan will be focused on the Science and Engineering precincts, providing enhanced facilities for research, teaching and learning. Capital expenditure on the Campus Master Plan and on providing co-located facilities for staff from the new Student Services and International portfolio will ensure improve services for students. Progress with implementation of capital projects in 2011 may be affected by reprioritisation following the earthquake of 4 September 2010.

### MANAGING RISK

The University's Risk Management and Compliance Framework, initially developed in line with the Australian/New Zealand Standard on Risk Management (AS/NZ ISO 4360:2004) and subsequently revised in line with AS/NZ ISO 31000:2009, informs risk analysis and the development of risk registers within the University. All of this is done with oversight from the University Council's Audit and Risk Committee and through involvement by the Senior Management Team. Responsibility for the day to day oversight of risk and compliance sits with the University Registrar and his staff. Key risks are reported on regularly by the Vice-Chancellor in monthly reports to Academic Board and Council. The University's master risk register is reviewed twice yearly by the Senior Management Team and Council's Audit and Risk Committee. Financial risks are reported on monthly to the Finance, Planning and Resources Committee of Council and quarterly to Council. The University's internal auditors are PricewaterhouseCoopers and its external auditors are Audit New Zealand.

## THE AUSSE SURVEY

The Australasian Survey of Student Engagement (AUSSE) is an annual survey of students enrolled in universities in Australia and New Zealand. It is closely linked to the North American National Survey of Student Engagement (NSSE). The AUSSE is managed by the Australian Council for Educational Research (ACER) in close collaboration with participating institutions. The primary aim of the survey is to provide a source of information about students' engagement with learning. Thirty-five higher education institutions – almost three-quarters of the universities in Australia and New Zealand – participated in the 2009 survey. This included five New Zealand universities - University of Canterbury, Lincoln University, Massey University, University of Otago and Victoria University of Wellington. The six items selected for inclusion in the Investment Plan are shown in the table below along with an indication of how the University's scores compare with New Zealand and overall AUSSE mean scores. These responses were provided by 1,173 randomly selected first- and later-year University of Canterbury students who participated in the 2009 AUSSE survey (a 24% response rate). An Executive Summary Report is available separately.

AUSSE Survey Item	Description	2009 Survey		
		University of Canterbury scores	New Zealand universities mean scores	AUSSE mean scores
Active learning	<i>Students' efforts to actively construct their knowledge</i>	33%	34%	39%
Staff and Student Interactions	<i>Level and nature of students' contacts with teaching staff</i>	18%	20%	23%
Supportive learning environment	<i>Feelings of legitimisation within the university community</i>	55%	56%	54%
Work-integrated learning	<i>Integration of employment-focused work experiences into study</i>	37%	37%	45%
Career readiness	<i>Preparation for participation in the professional workforce</i>	30%	32%	38%

## STAFF SURVEYS

The University has embarked on a staff survey programme using the template and analytic services of a third-party provider. The *Voice Project*, based at Macquarie University in Australia, has extensive experience in this field with a wide range of organisations including 23 Australasian universities. Baseline surveys were conducted in 2009 with staff from four of the University's colleges (Arts, Business and Economics, Engineering and Science), the School of Law and all of the central Service Units. Some 1,437 staff participated in the surveys, an average response rate of 73%. From the surveys two main indices have been chosen for inclusion in the Plan. These are the Passion Index and the Progress Index. The Passion Index is an indicator of employee engagement and their sense of connection to the organisation. The index is an average of three sets of questions relating to organisational commitment, job satisfaction and intention to stay. The Progress index is a measure of employee satisfaction with the way the organisation is run and their perception of its success. It is an average of three sets of questions relating to organisational objectives, change and innovation and perceptions of customer satisfaction. Surveys will be repeated every eighteen months to two years to measure progress. Staff in the College of Education will be surveyed in 2011.

Passion Index	73%
Organisational Commitment	68%
Job Satisfaction	84%
Intention to Stay	68%

Progress Index	53%
Organisational Objectives	63%
Change and Innovation	34%
Customer Satisfaction	62%

## **APPENDIX 1: Enrolment Management Plan**

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### **Context**

The context for an Enrolment Management Plan is our need to manage domestic enrolments within limits agreed with the Tertiary Education Commission (TEC). Under the government's capped tertiary education funding regime we are required to agree an annual "mix of provision" with TEC that specifies how many domestic Equivalent Full-Time Students (EFTS) we will enrol, in what subject categories, at what qualification levels and to what total dollar value. In delivering on this we are required to operate within tolerance limits of 97% to 103% of our Student Achievement Component (SAC) funding (i.e., the total EFTS-dollar amount agreed in the plan). Given current recessionary pressures, however, our domestic enrolments are likely to exceed 103% of the plan if left unchecked. To mitigate this risk, we need to manage our domestic enrolments.

### **Challenges**

In managing enrolments there are a number of challenges that need to be acknowledged:

1. Domestic enrolments respond to changes in external factors over which we have no control – economic environment, fluctuations in the job-market, the opportunity cost of entering or remaining in tertiary education, demand for graduates etc. The surge in enrolments in 2009 because of the global financial crisis and resulting local recession is a particular case in point.
2. Patterns of enrolment also reflect social policy provisions, especially as these relate to adult entry to tertiary education. Section 224(3)(a) of the Education Act 1989 provides for open entry to university of all New Zealand citizens and permanent residents aged 20 years or older. A review of this "special admissions" policy is currently underway but any changes will take a number of years before they have any appreciable impact.
3. In screening students who are under 20 years of age, research has shown that National Certificate of Educational Achievement (NCEA) minimum standards for university entrance are not a good predictor of subsequent academic performance at tertiary level.
4. Constraints on tuition fee income imposed by the government's Annual Maximum Fee Movement (AMFM) regime mean that universities cannot afford to add to their already considerable financial burdens by carrying too many "unfunded" domestic students.
5. The introduction of Educational Performance Indicators by TEC and the consequential impact that performance against these will have on Student Achievement Component funding from 2012 means that universities need to become more attentive to the academic potential of students who apply for admission.

### **Commitments**

Other universities have responded to these challenges by setting their own admission standards for domestic students and limiting entry not only to specific courses and programmes but also to the university as a whole. We choose not to follow their lead in this for reasons of practicality and principle:

1. Implementing admission standards in order to limit entry to courses, programmes or the University as a whole is administratively cumbersome and financially costly.
2. It is potentially confusing for prospective students if each university insists on having its own admission criteria in preference to operating in accordance with national standards.
3. We are not convinced that there are justifiable legal grounds for restricting entry in contravention of the provisions of sections 224 and 257 of the Education Act 1989.
4. On the grounds of equity and access we are committed as a matter of principle to retaining open entry for students who are qualified to take advantage of university study.

## Components

In light of the above, we will take the following approach to managing enrolments:

1. We will retain our existing limitation of entry provisions for courses and programmes (see pages 17 to 25 of UC Calendar 2010) extending these on advice from Colleges where this is felt to be necessary in the light of previous enrolment patterns.
2. In line with advice received from Colleges, we will impose restrictions on mid-year enrolments, particularly in relation to qualifications with mid-year entry, and will curtail summer school enrolments by offering a selectively reduced programme.
3. From 2010 we will implement an early December application to enrol deadline for new domestic undergraduate students and use this as an opportunity both to monitor enrolment trends for the coming year and also to identify in advance potentially at risk students so they can be offered appropriate academic advice and other support.
4. We will change the nature of course advice given to prospective students with low NCEA scores and also to prospective adult entry students without University Entrance to direct them where necessary to alternative providers who may offer courses more suited to their needs.
5. Where students only wish to enrol in a limited number of courses and do not wish to complete a qualification, we will advise them to enrol as Certificate of Proficiency students.
6. We will increase our monitoring of student academic performance and offer appropriate advice and support to ensure successful academic outcomes wherever possible.
7. We will continue to enforce “firm but fair” academic progression standards at the end of each semester in relation to students who fail to achieve the required academic standards (see page 47 of UC Calendar 2010).
8. We will continue to give strategic emphasis to increasing our postgraduate enrolments and also our Māori and Pacific enrolments, doing so within targets agreed with the Tertiary Education Commission as part of our Investment Plan.
9. We will continue to give strategic emphasis to increasing our enrolment of appropriately qualified international (full fee) students in line with targets set in our ten-year financial model.
10. We will monitor enrolment and academic performance patterns during the year and report on these regularly to executive and governance bodies for appropriate direction and advice.

In implementing this Enrolment Management Plan our commitment is to ensuring that quality education is a prime focus in creating a world-class learning environment for our students.

September 2010

## Appendix 2: UC Research Institutes and Centres

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### UC RESEARCH INSTITUTES

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1. Biomolecular Interaction Centre (BIC)	The Biomolecular Interaction Centre researches molecular interactions critical to biological function. Understanding biomolecular interactions is central to a range of fundamental sciences, new treatments for disease, and a wide range of highly functional products.
2. New Zealand Institute of Language, Brain and Behaviour (NZILBB)	The New Zealand Institute of Language, Brain and Behaviour is a multidisciplinary centre dedicated to the study of human language. Its researchers cover fields such as linguistics, speech production and perception, language acquisition, language disorders, special cognition, memory, brain imaging, cognitive science, bilingual education and interface technologies.

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### UC RESEARCH CENTRES

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1. Biomathematics Research Centre	The Centre promotes biomathematics and biostatistics, with collaborative projects between biologists and staff in the Department of Mathematics and Statistics.
2. Centre for Atmospheric Research	Hosted in the Department of Geography, this Centre undertakes teaching and collaborative research into atmospheric processes.
3. Centre for Bioengineering	The Centre for Bioengineering aims to be an internationally recognised interdisciplinary research centre of excellence, dedicated to servicing the biotech/bioengineering industry in New Zealand and throughout the world.
4. Centre for Integrated Research on Biosafety (INBI)	The Centre for Integrated Research on Biosafety aims to contribute to the increased understanding and more effective management of emerging biotechnologies.
5. Centre of Excellence for Aquaculture and Marine Ecology (CEAME)	The Centre is a partnership between the School of Biological Sciences and the National Institute of Water and Atmospheric Research (NIWA) to promote and enhance excellence in aquaculture and marine ecological research.
6. Electric Power Engineering Centre (EPE Centre)	The purpose of the Centre is to promote and support the education of electric power engineers, and the study of power engineering at the University as a field of excellence in New Zealand.
7. Gateway Antarctica	The Centre for Antarctic Studies and Research aims to contribute to increased understanding and more effective management of the Antarctic and the Southern Ocean. It also runs the Graduate Certificate in Antarctic Studies programme.
8. Geospatial Research Centre (GRC)	The Geospatial Research Centre, housed within the College of Engineering, undertakes research that focuses on geospatial technologies and disciplines, including positioning and orientation, imaging and image analysis, communications and signal analysis, sensor integration, and geospatial information systems (GIS).
9. Health Sciences Centre	The Centre will foster health-related interdisciplinary and collaborative initiatives within the University, with other tertiary education providers in Canterbury and beyond, and with the health sector.
10. Human Interface Technology Laboratory of New Zealand (HIT Lab NZ)	The HIT Lab NZ is an annex of the HIT Lab of the University of Washington, and has been established to take advantage of opportunities to develop new, more effective and intuitive interfaces to link humans with computers and computer-based systems.
11. Macmillan Brown Centre for Pacific Studies	The Centre was established in 1988 to facilitate the 'investigation and research of the history, traditions, customs, laws, and ideas of the peoples of the Pacific generally.' The main areas of research of the Centre are the societies and cultures, past and present, of the indigenous peoples of Oceania (including New Zealand).

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**UC RESEARCH CENTRES continued**

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12. National Centre for Research on Europe (NCRE)	This multidisciplinary Centre exists to stimulate and develop post-graduate research in a range of European topics and to raise awareness of Europe within New Zealand.
13. Natural Hazards Research Centre	NHRC researchers are involved in the study of earthquakes, volcanoes, landslides, and the engineering of structures to mitigate risk.
14. New Zealand - Australia Connections Research Centre (NZARC)	The NZAC Research Centre formalises existing trans-Tasman links developed by the School of History's Anzac Neighbours project. In addition, the centre will foster internationally recognised excellence in research and scholarship and provide high quality postgraduate training to promote greater understanding of trans-Tasman relations.
15. New Zealand Centre for Human Animal Studies (NZCHAS)	Hosted by the School of Culture, Literature and Society in the College of Arts, this Centre is the only one of its kind in New Zealand, focusing on the study of non-human animals, and human-animal relations, from both humanities and social science perspectives.
16. New Zealand South Asia Centre (NZSAC)	The New Zealand South Asia Centre at the University of Canterbury is designed to promote recognition and understanding of South Asian societies and cultures in New Zealand. NZSAC fosters cooperation with academic and other institutions in this country and abroad. It brings together scholars and students, politicians and entrepreneurs and provides a platform for collaborative research, education and consultancy.
17. Product Innovation Centre (PIC)	This Centre, established in June 2001, undertakes research and service to industry in the areas of product innovation, design and product development.
18. Social Science Research Centre (SSRC)	An inter-disciplinary Centre with a key aim to provide a clearer focus for social science research, both within the University of Canterbury and the broader Canterbury region. SSRC is part of the national Building Research Capability in the Social Sciences Network (BRCSS).
19. Te Awatea Violence Research Centre	Hosted by the Department of Social Work, the Centre aims to expand and enhance community understanding of various forms of violence and to offer evidence-based information about how violence might be prevented and reduced.
20. Te Puna Puoru National Centre for Research in Music Education and Sound Arts	The National Centre for Research in Music Education and Sound Arts (MERC), set up in 2006, serves as the national hub for the coordination of and contribution to research in music education and sound arts. It aims to increase understanding and knowledge of the musical arts in education and in the wider community. MERC is devoted to developing the national and international profile of music education in Aotearoa New Zealand through its activities, partnerships and collaborations.
21. Wireless Research Centre (WRC)	The WRC is working towards being an internationally recognised world-class centre of excellence in industry-led wireless research that supports and delivers focused innovative research, whilst growing the pool and knowledge of wireless graduates.
22. Wood Technology Research Centre	The Centre was established in 1996 as a means of information exchange among staff engaged in wood-related research and to facilitate research programmes and technology transfer to end users.

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## Appendix 3: Qualifications

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A list of qualifications offered by the University of Canterbury is available separately. Listed below are new qualifications to be offered in 2011 and qualifications to be discontinued.

### New and Revised Qualifications to be delivered in 2011

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#### FACULTY OF EDUCATION

##### Board of Studies in Education for Graduate and Postgraduate Qualifications

PGDipSpecTchg	Postgraduate Diploma and Certificate
PGCertSpecTchg	in Specialist Teaching (with Massey University)

##### Board of Studies in Education for Undergraduate and Initial Teacher Education Qualifications

GradDipECTch	Graduate Diploma in Early Childhood Teaching (a retitled qualification)
BEd(Physical Education)	Bachelor of Education (Physical Education)

#### FACULTY OF HUMANITIES AND SOCIAL SCIENCES

##### Arts Board of Study

MMaor	Master of Māori and Indigenous Studies
MTeReo	Master of Te Reo Māori
PGDipMaor	Postgraduate Diploma in Māori and Indigenous Studies
PGDipTeReo	Postgraduate Diploma in Te Reo Māori

#### FACULTY OF LAW

##### Law Board of Study

LLB(Hons)	Bachelors of Laws Honours
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#### FACULTY OF SCIENCE

##### Science Board of Study

MGIS	Masters in Geographic Information Science
PGDipGIS	Postgraduate Diploma in Geographic Science
GradCertSCIE	Graduate Certificate in Science Innovation and Entrepreneurship

### Qualifications to be discontinued

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		Year
BEdSc	Bachelor of Education in Science	2011
PGDipEng	Postgraduate Diploma in Engineering	2011
GradCertGiftedEd	Graduate Certificate in Gifted Education	2014
GradCertTESOL	Graduate Certificate in Teaching and Supporting People with Disabilities	2014
BEd/GradDipTchLn (Secondary)	Bachelor of Education/ Graduate Diploma in Teaching and Learning(Secondary)	2015
DipTSD	Diploma in Teaching and Supporting People with Disabilities	2015
GradDipSTN	Graduate Diploma in the Education of Students with Special Teaching Needs	2015

University processes for regulating the proliferation of qualifications are set out in “Procedures for Creating, Reviewing and Modifying Courses, Programmes and Qualifications” (also known as the “Blue Book”). These processes ensure that proposals for new qualifications are subject to review by Faculties, College Executives, the Academic Administration Committee and Academic Board before being approved by Council for forwarding to the Universities New Zealand (formerly NZVCC) Committee on University Academic Programmes (CUAP). Oversight of this process is provided from within the Deputy Vice-Chancellor’s Office by the Assistant Vice-Chancellor (Academic), supported by staff from the Academic Quality Assurance Unit (AQuA).

## Appendix 4: Contributing to the Tertiary Education Strategy by Promoting a World-Class Learning Environment

