

Council Agenda Part A (Open Agenda) 09.12.19 Goldie Estate, 18 Causeway Road, Surfdale, Waiheke island, Auckland 4:00pm			Page #
1. APOLOGIES	Mr Ferrier	The Chancellor moves that the apologies, be noted .	
2. WELCOME	The Chancellor welcomes Mr Junyi (Johnny) Wang to his first meeting as member of Council.		
3. DISCLOSURES OF INTEREST BY MEMBERS	The attention of Members is drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in s175 of the Education Act 1989.	The Chancellor moves that the disclosures, if any, be noted and the action taken be endorsed .	
4. CONFERMENT OF DEGREES	In accordance with the provisions of the Conferment of Academic Qualifications and Academic Dress Statute 1992 the Chancellor will confer the degrees listed (as attached) by stating: <i>By the authority vested in me by resolution of The University of Auckland Council I, SCOTT ST JOHN, Chancellor, confer the degrees stated upon those who, within their several faculties, have satisfied the requirements of this University.</i>		8
5. AWARD OF DIPLOMAS	In accordance with the provisions of the Conferment of Academic Qualifications and Academic Dress Statute 1992 the Chancellor will award the diplomas listed (as attached) by stating: <i>By the authority vested in me by resolution of The University of Auckland Council I, SCOTT ST JOHN, Chancellor, award the diplomas stated to those who, within their several faculties, have satisfied the requirements of this University.</i>		10
6. COUNCIL MEETINGS	6.1 Council, Draft Minutes (Part A), 21.10.19	The Chancellor moves that the Minutes (Part A), 21.10.19 be taken as read and confirmed .	12
	6.2 Matters arising from the Minutes (Part A), 21.10.19 not elsewhere on the Agenda		

	<p>6.2.1 Memorandum, 07.11.19 from the Vice-Chancellor regarding matters arising from the meeting of 21.10.19.</p> <p>6.2.2 With regards to item 07.3.2 Domestic Student Fees 2020 and International Student Fees 2021: There was an error in Appendix D of item – Fees schedule A – All Students Corrected version with track changes is attached</p>	<p>The Chancellor moves that the matters arising from the Minutes (part A), 21.10.19 be noted.</p>	<p>22</p>
<p>7. VICE-CHANCELLOR'S REPORT</p>		<p>The Chancellor moves that the Vice-Chancellor's Report be noted.</p>	<p>31</p>
<p>8. REPORTS OF COUNCIL COMMITTEES</p>	<p>8.1 AUDIT AND RISK COMMITTEE</p> <p>8.1.1 Minutes (Part A), 22.11.19</p>	<p>The Chancellor moves that the Audit and Risk Committee Minutes (Part A), 22.11.19 be received.</p>	<p>70</p>
	<p>8.2 FINANCE COMMITTEE</p> <p>8.2.1 Minutes (Part A), 27.11.19</p> <p>8.2.2 Planning and Budget Report 2020</p>	<p>The Chancellor moves that the Finance Committee Minutes (Part A), 27.11.19 be received.</p> <p>The Chancellor moves that the Planning and Budget Report 2020 be received and approved.</p>	<p>72</p> <p>74</p>
	<p>8.3 EQUITY LEADERSHIP COMMITTEE</p> <p>8.3.1 Equity Leadership Committee end-of-year Report to Council</p>	<p>The Chancellor moves that Council receive and note the Equity Leadership Committee end-of year-Report to Council.</p>	<p>194</p>

<p>9 SENATE MATTERS</p>	<p>9.1 REPORT OF SENATE, 25.11.19</p> <p>Part Ai, 1 - 3: Reviews to be received by Council Part Aii, 4 - 7: Policy and other matters requiring Council approval Part B, 1: Matters for noting by Council Part C, 1-2: Matters handled under Delegated Authority</p>	<p>The Chancellor moves that the recommendations in Part A of the Report of Senate, 25.11.19 be adopted and Parts B and C be noted</p>	<p>198</p>
<p>10 CORRESPONDENCE REFERRED BY THE CHANCELLOR</p>	<p>No items received.</p>		
<p>11 OTHER MATTERS FOR DECISION OR NOTING</p>	<p>11.1 SEAL</p> <p>Since the Council meeting on 21.10.19 the seal has been applied to the following documents in accordance with the Council resolution of 18.02.1991:</p> <ol style="list-style-type: none"> 1. Deed of Transfer – The Nurture Foundation for Reproductive Research & The University of Auckland School of Medicine Foundation & The University of Auckland. 2. Deed of Amendment of Gift Agreement – Thanksgiving Foundation Ltd & The University of Auckland Foundation & The University of Auckland. 	<p>The Chancellor moves that the affixing of the seal to the listed document be noted.</p>	
	<p>11.2 CODE OF CONDUCT</p> <p>11.2.1 Memorandum, 27.11.19 from the Vice-Chancellor regarding the Code of Conduct</p> <p>11.2.2 Code of Conduct as recommended to the Vice-Chancellor</p>	<p>The Chancellor moves that the Memorandum, 27.11.19 from the Vice-Chancellor be received and that Council approve the Code of Conduct.</p>	<p>202</p>
<p>12. ELECTIONS - APPOINTMENTS</p>	<p>12.1 ELECTIONS OF STAFF REPRESENTATIVES ON COUNCIL</p> <p>12.1.1 Returning Officer’s Report, 22.11.19 to Council</p>	<p>The Chancellor moves that Council note the Returning Officer’s report, 22.11.19 to Council</p>	<p>205</p>

13. FAREWELL	Vice-Chancellor, Professor Stuart McCutcheon; The Māori representative on Council, Associate Professors Kawharu; and Academic Staff representative Associate Professor Sims.	The Chancellor moves that Council thank the Vice-Chancellor, Professor Stuart McCutcheon, Associate Professors Kawharu and Sims for their contribution to the work of Council.	
14. GENERAL BUSINESS	None		
15. LEAVE OF ABSENCE	(for the meeting of 16.03.20)		

PUBLIC EXCLUSIONS

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

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

General subject of each matter to be considered:

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|----------------|---|
| Item No. 1.1 | Council Meeting Minutes (Part B), 21.10.19 |
| Item No. 1.2.1 | Memorandum from the Vice-Chancellor |
| Item No. 2.1.1 | Animal Ethics Committee Membership Report, 22.11.19 |
| Item No. 2.2.1 | University of Auckland Biological Safety Committee Membership Report, 22.11.19 |
| Item No. 2.3.1 | University of Auckland Human participants Ethics Committee Membership Report, 22.11.19 |
| Item No. 2.4.1 | Audit and Risk Committee, Minutes (Part B), 22.11.19 |
| Item No. 2.5.1 | Finance Committee, Minutes (Part B), 27.11.19 |
| Item No. 2.6.1 | University Honours Committee Reports |
| Item No. 2.7.1 | Naming Committee Reports |
| Item No. 4.1 | Student appeal to council against decision of vice-chancellor not to exercise special powers under regulation 59 of the enrolment and programme regulations |
| Item No. 5.1 | Council Committee Membership for 2020 |
| Item No. 6.1 | Expressions of Interest sought for the position of one Māori person on Council |
| Item No. 7. | Chair of UniServices Ltd |
| Item No. 8. | Review of the Vice-Chancellor's Performance in 2019 |

Reason for passing this resolution in relation to each matter:

The protection of the interests mentioned below.

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

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

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

AND THAT Adrienne Cleland, Professors Metson and Morrow, Peter Gudsell, Pamela Moss, Todd Somerville and Wendy Verschaeren be permitted to remain for this part of the meeting, after the public has been excluded, because of their knowledge of, or need to be briefed about, the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of The University of Auckland for which those persons are responsible.

The University of Auckland Council Monday 9 December 2019

CONFERMENT OF DEGREES

DOCTOR OF MEDICINE

Tom Kai Ming Wang

DOCTOR OF PHILOSOPHY

Alexandra Nadine Poppinga in Computer Science
na Markic in Marine Science
Danilo Correddu in Chemistry
Fithri Choirun Nisa in Food Science
Jose Carlos Arriola Ortiz in Information Systems
Marco Grix in Philosophy
Qianshuo Zhao in Marine Science
Shandong Mou in Operations & Supply Chain Management
Sreekari Vogeti in Psychology
Weiwei Ai in Electrical and Electronic Engineering

MASTER OF ARTS WITH FIRST CLASS HONOURS

Freya Hill Anderson in Criminology
Hongping Yu in Translation Studies

MASTER OF CLINICAL EDUCATION WITH FIRST CLASS HONOURS

Janak Rashme de Zoysa

MASTER OF HEALTH LEADERSHIP WITH SECOND CLASS HONOURS FIRST DIVISION

Dan Yu

MASTER OF MUSIC WITH FIRST CLASS HONOURS

Stephen Richard Thomas in Performance

MASTER OF NURSING WITH SECOND CLASS HONOURS FIRST DIVISION

Ji Won Sung

MASTER OF PROPERTY WITH SECOND CLASS HONOURS FIRST DIVISION

Shi Fanghui

MASTER OF SCIENCE WITH FIRST CLASS HONOURS

Diana Lynne Hawkins in Wine Science
Fletcher George Sunde in Marine Science

MASTER OF SCIENCE WITH SECOND CLASS HONOURS SECOND DIVISION

Diana Pajuelo Aparicio in Earth Sciences

BACHELOR OF ARTS (CONJOINT)

Ziyang Li
Rowan Alice Lowe

BACHELOR OF COMMERCE

Adrian Gideon Mckinstry

BACHELOR OF FINE ARTS

Tammie-Rose Christina Gillard

BACHELOR OF HEALTH SCIENCES

Edward William Tuipoloa

BACHELOR OF OPTOMETRY

Samuel Liao

The University of Auckland Council Monday 9 December 2019

AWARD OF DIPLOMAS

POSTGRADUATE DIPLOMA IN EDUCATIONAL LEADERSHIP

Linda Louise Everett

POSTGRADUATE DIPLOMA IN HEALTH SCIENCES

Yiwei Cederman in Advanced Nursing Janice Padron Pasilan in Ultrasound

POSTGRADUATE DIPLOMA IN SCIENCE

Georgina Louise Jackson in Environmental Science

GRADUATE DIPLOMA IN TEACHING (SECONDARY)

Zev Isadore Fishman

DIPLOMA IN PAEDIATRICS

Shaun James Butler

Council Minutes Part A		
(Open Minutes) 21 October 2019		
PRESENT:	Mr St John (Chair), Professor McCutcheon (Vice-Chancellor), Ms Tarrant, Sir Ralph Norris, Mr Daniell, Ms Dawson, Mr Ferrier, Associate Professors Kawharu and Sims, Mrs Dunphy, and Mr Barton	
IN ATTENDANCE:	Mrs Cleland, Mr Gudsell, Mr Rengers, Mr Mosely, Mr Neale and Mrs Verschaeren	
1. APOLOGIES	Ms Newsome	RESOLVED that the apologies be noted .
2. DISCLOSURES OF INTEREST BY MEMBERS	<p>The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in s175 of the Education Act 1989.</p> <p>With respect to item B2.2.3, the Vice-Chancellor disclosed that he had a friend on the Board of one of the contracting companies for the Carlaw Park 3 Project, as recorded in the Capital Expenditure Committee Minutes, 25.09.19.</p> <p>With respect to item A7.3.2, Mr Barton, Ms Tarrant, Associate Professor Sims and Mrs Dunphy disclosed that they were students and/or had family members who would be or might be students in 2020.</p> <p>It was agreed that these declared conflicts would not preclude the members participating in the discussions and votes.</p>	RESOLVED (Chancellor/Mr Daniell): That the disclosures be noted and the action taken be endorsed.
3. CONFERMENT OF DEGREES	With the authority of Council, the Chancellor conferred the degrees as per the schedule provided to the meeting.	
4. AWARD OF DIPLOMAS	With the authority of Council, the Chancellor awarded the diplomas as per the schedule provided to the meeting.	

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<p>5. COUNCIL MEETINGS</p>	<p>5.1 Council, Draft Minutes (Part A), 26.08.19</p>	<p>RESOLVED (Chancellor/Associate Professor Sims): that the Minutes (Part A) of the Council meeting held on 26.08.19 be taken as read and confirmed.</p>
	<p>5.2 Matters arising from the Minutes (Part A), 26.08.19 not elsewhere on the Agenda.</p> <p>With regards to item 10.3: the procession scheduled for Graduation on 24.09.19 had to be cancelled because of the weather. The additional security arrangements would be trialled during Autumn Graduation in 2020.</p>	
<p>6. VICE-CHANCELLOR'S REPORT</p>	<p>The report was taken as read.</p> <p>The Vice-Chancellor presented the Report and highlighted the following:</p> <p>With regards to the national recognition of the University's academics it had been a stellar year. In addition to the staff members who received National Tertiary Teaching Excellence Awards, as mentioned under point 2.3 of the Report, four or five staff members recently received national Research Excellence Awards and Distinguished Professor Jane Harding, received the Rutherford Medal, which was the top Research excellence Award in New Zealand.</p> <p>In response to a question raised by Council, the Vice-Chancellor would check with Health and Safety if it would be appropriate for the University to consider a vaccination programme for staff in case of a future measles outbreak.</p> <p>With regards to the staff excellence awards the University received, a Council member asked if it would be possible to get an overview of how this evolved in the last ten years. The Vice-Chancellor said he would provide that information</p> <p>Taking into account the confidentiality of these cases, Council also requested a brief report on cases of serious misconduct at the University and the way these cases had been resolved, as some of these could affect the University's reputation. The Vice-Chancellor said he would provide a report on this.</p>	<p>RESOLVED (Chancellor/Mr Daniell): that the Vice-Chancellor's Report be noted.</p>
<p>7. REPORTS OF COUNCIL COMMITTEES</p>	<p>7.1 AUDIT AND RISK COMMITTEE</p> <p>7.1.1 Minutes (Part A), 02.10.19</p>	<p>RESOLVED (Chancellor/Ms Dawson): that the Audit and Risk Committee Minutes (Part A), 02.10.19 be received.</p>

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	<p>7.2 CAPITAL EXPENDITURE COMMITTEE</p> <p>7.2.1 Minutes (Part A), 25.09.19 7.2.2</p>	<p>RESOLVED (Chancellor/Ms Tarrant): that the Capital Expenditure Committee Minutes (Part A), 25.09.19 be received.</p>
	<p>7.3 FINANCE COMMITTEE</p> <p>7.3.1 Minutes (Part A), 25.09.19</p> <p>7.3.2 Domestic Student Fees 2020 and International Student Fees 2021</p> <p>This item was presented by the Vice-Chancellor. He commented that two points in Part A of the paper had been redacted for commercial sensitivity reasons; these would be further discussed in Part B.</p> <p>The Report demonstrated that, with regards to domestic fees, the expected cost and income movements in 2020 would follow a similar pattern as in the previous years. The increase in costs and the inadequate increase in the Government-controlled Student Achievement Component (SAC) funding meant that, to maintain the same EFTS revenue as in 2019, the student fees would need to increase by 12.2%. However, as the Government only allowed the fees to increase by 2%, this meant that there would be again a significant shortfall which needed to be covered by savings.</p> <p>The University had continued to pursue administrative efficiencies through functional reviews and consolidating libraries and campuses which all contributed to cost savings. However, the size of the continuing deficit was affecting academic staffing positions which contributed to the continuing decline of the New Zealand Universities in the international rankings.</p> <p>One of the options for the University was to have less favourable student: staff ratios, but this would lower the quality of teaching. It would also affect the international rankings negatively, as these were driven by student:staff ratios. To avoid this, the University had protected its student:staff ratios by benchmarking them against the Group of Eight Universities in Australia. As a result, savings needed to be found elsewhere which was often controversial.</p> <p>In the international market, higher fees were seen as an indication of quality and therefore it was important to benchmark them</p>	<p>RESOLVED (Chancellor/Mr Daniell): that the Finance Committee Minutes (Part A), 25.09.19 be received; and</p> <p>the Report on Domestic Student Fees 2020 and International Student Fees 2021 be received; and THAT Council:</p> <ul style="list-style-type: none"> • Approve the attached Domestic Fees Schedule for 2020; • Approve the attached International Fees Schedule for 2021; • Authorise the Vice-Chancellor to assign any new programmes, or programmes becoming newly available to international students in 2021, to an appropriate band to enable offers to be made during the recruitment cycle, and report these decisions back to Council; • Authorise the Vice-Chancellor to set fees for University programmes delivered offshore and to report those to the Council meeting immediately following; • Authorise the Vice-Chancellor to authorise faculty Deans to award bursaries (effectively a discount) on international fees on the understanding that this should drive volume, that the published fee remains at the approved rate and that standard University overheads are not compromised; and • Approve the Compulsory Student Services Fee at \$7.86 per point (GST inclusive), • Authorise the Vice-Chancellor: <ul style="list-style-type: none"> ◦ To exempt from the CSSF those students outside NZ (e.g. those students on an exchange programme) and those students in non-formal programmes such as New Start

	<p>carefully. The University aimed to set the fees in the lower third compared to the fees in the Group of Eight Universities in Australia. It was broadly proposed to increase the international fees by 4% for 2021. There would be some variation depending on the Faculties and the ranking of their programmes in the international market.</p> <p>The Study Abroad Fee would be held at the same level as in 2020.</p> <p>With regards to the Compulsory Student Services Fee (CSSF) Council noted that the consultation with the Auckland University Students' Association (AUSA) and through the student Consultative Group had worked very well. There were recommendations for two additional areas to be funded through the CSSF:</p> <ul style="list-style-type: none"> • An additional \$50,000 to be made available to the Student Group Grants Fund and • A further \$200,000 to be made available to allow for a case management approach, Campus Care, for health, wellbeing and conduct issues faced by students. A pilot would be set up through positions in the Faculties of Arts and Science. It would provide students who have concerns with a first port of call and help to resolve these. If successful, the University would fund similar positions in the other Faculties. <p>In the discussion that followed, the following was highlighted:</p> <ul style="list-style-type: none"> • The additional \$200,000 for Campus Care and the proposed additional \$50,000 for student groups and clubs were important steps from the students' point of view. Especially Campus Care was a proactive response for dealing with the issues raised in the student survey. It would allow students to go to one central point of contact and meet with a staff member who dealt with an entire range of issues. With regards to the proposed fees increase, questions needed to be raised with the Government, as it was important for the University to continue to deliver quality education. It was necessary to recognise the constraints that were put on the University. • The paper did not differentiate between cash items and non-cash items, as it was constrained by the TEC risk profile which also did not differentiate between these. • Council asked that, for international fees, in the future, if we continued to benchmark against the Group of Eight Universities in Australia, the benchmarked fees would be included in the paper. 	<ul style="list-style-type: none"> ○ To reduce the CSSF proportionally for those programmes fully delivered at locations where only a subset of student services are able to be accessed • Approve the attached Other Fees Schedule for 2020 • Consider Sections 5.5, 5.6 and Appendix C in Part B of the meeting.
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<p>7.4 RŪNANGA</p> <p>7.4.1 Terms of Reference of Rūnanga – revised and current – deferred from the Council meeting of 26.08.19</p> <p>The aim of Rūnanga was to advise Council on all matters relevant to Māori and it provided a place for all Māori staff to engage in discussion about these matters. The Rūnanga Terms of Reference mentioned that the meetings would be open to all Māori staff, but it was important to note that nobody was excluded from attending.</p>		<p>RESOLVED (Chancellor/Mrs Dunphy): that the revised Rūnanga Terms of Reference be approved</p>
<p>7.5 STUDENT APPEALS COMMITTEE</p> <p>7.5.1 Report, 08.07.19</p>		<p>RESOLVED (Chancellor/Mr Ferrier): that the Student Appeals Committee Report, 08.07.19 be received.</p>
<p>8. SENATE MATTERS</p>	<p>8.1 REPORT OF SENATE, 23.09.19</p> <p>Council noted a typographical error in the last sentence on p. 6 of the Year-on Review of the School of Medical Sciences, to read: "...Whakapikī Ake programme..."</p> <p>Part Ai, 1 - 8: Reviews to be received by Council Part Aii, 9 - 12: Policy and other matters requiring Council approval Part B, 1: Matters for noting by Council Part C, 1-2: Matters handled under Delegated Authority</p>	<p>RESOLVED (Chancellor/Vice-Chancellor): that the recommendations in Part A of the Report of Senate, 23.09.19 be adopted and Parts B and C be noted</p>
<p>9. CORRESPONDENCE REFERRED BY THE CHANCELLOR</p>	<p>No items received.</p>	

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<p>10. OTHER MATTERS FOR DECISION OR NOTING</p>	<p>10.1 SEAL</p> <p>Since the Council meeting on 26.08.19 the seal had been applied to the following document in accordance with the Council resolution of 18.02.1991:</p> <p>Deed of Lease – 70 Stanley Street, Parnell- L2 & part of the GF of the Building and car parks as stated in the Deed – Windsor Park Leasing Ltd (Landlord) & The University of Auckland (Tenant)</p>	<p>RESOLVED (Chancellor/Vice-Chancellor): that the affixing of the seal to the listed document be noted.</p>
	<p>10.2 RESCINDMENT</p> <p>10.2.1 Memorandum, 08.10.19 from Margaret Allen, Manager, Scholarships and Graduation regarding the rescindment of the Master of Professional Studies (Food Safety) awarded without class of Honours to the above student.</p>	<p>RESOLVED (Chancellor/Associate Professor Sims): that the Memorandum, 08.10.19 from the Manager, Scholarships and Graduation be received and that Council rescind the Master of Professional Studies (Food Safety) conferred in May 2019 to the named student and confer the Master of Professional Studies (Food Safety) with First Class Honours</p>
	<p>10.3 PASTORAL CARE OF STUDENTS IN UNIVERSITY ACCOMMODATION</p> <p>10.3.1 Memorandum from the Associate Director Campus Life (Accommodation), Mr Rengers regarding the provision of pastoral care in University of Auckland Student Accommodation.</p> <p>10.3.2 Letter regarding accommodation from the Chief Executive of the Tertiary Education Commission, Mr Fowler to TEI Council Chairs.</p> <p>10.3.3 Pastoral Care in Accommodation</p> <p>In response to questions of Council, the Associate Director Accommodation, Mr Rengers, responded that the broad University approach to the provision of pastoral care had existed for at least six years, but this was reviewed, updated and improved annually. The TEC was asking for the assurance that students in tertiary education institutions were kept safe. This happened after the tragic case where a student in University of Canterbury accommodation passed away in his room and it took more than four weeks before his body was discovered. Although extremely tragic, this was, however, remarkable and received considerable media attention because it took weeks for the body to be found. The fact that the student was staying in independent-living accommodation could have been a contributing factor to the delay in</p>	<p>RESOLVED (Chancellor/Mr Daniell): that Council note the Pastoral Care of Students in University Accommodation and ask that we respond to TEC that we are confident with our processes but also suggest that a university peer review could be useful to ensure that our processes would minimise the time required to detect a missing student.</p>

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	<p>finding the student’s body. TEC was asking for the assurance that students were safe and it was important to note that, at this point, there was no evidence that showed that the student who passed away at Canterbury was not safe.</p> <p>It was crucial to minimise the delay in finding a missing student and to find out how long it would take for a similar case to be detected at the other Universities. Council suggested that the Universities could peer review each other’s processes.</p> <p>Residential Advisors (RAs) had received a lot of negative press. However, the responsibility of keeping students safe did not rely only on the RAs The RAs were extensively trained but they were also full-time students and it was also essential to support them appropriately. Accommodation at the University of Auckland also had a professional staff member on call 24/7. Council noted that it was often difficult to track down students, as they were adults and could go where they liked. Although students were asked to advise when they would be away for extended time, they often did not.</p> <p>Council was confident about the rigour that had gone into the framework for pastoral care, but thought that there would be merit in a peer review of the Universities’ pastoral care processes with respect to missing students.</p>	
	<p>10.4 HONORARY DEGREES AND AWARDS</p> <p>10.4.1 Memorandum, 29 September 2019 from the Vice-Chancellor regarding proposed amendments to the Honorary Degrees and Awards Statute 1998.</p> <p>10.4.2 Proposed Honorary degrees and Awards Statute 2019.</p> <p>10.4.3 The current Honorary Degrees and Awards Statute 1998.</p>	<p>RESOLVED (Chancellor/Ms Tarrant): that Council adopt the Honorary Degrees and Awards Statute 2019.</p>
<p>11 ELECTIONS - APPOINTMENTS</p>	<p>11.1 REAPPOINTMENT OF SKILLS-BASED MEMBERS OF COUNCIL</p> <p>Ms Dawson and Mr St John left the room and the Registrar assumed the Chair.</p> <p>11.1.1 Memorandum, 09.09.19 from the Vice-Chancellor regarding the reappointment of skills-based members of Council.</p>	<p>RESOLVED (Vice-Chancellor/Sir Ralph Norris): that both Scott St John and Jan Dawson be appointed to the University Council as skills-based members, each for a further term of four years.</p>

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	<p>11.2 ELECTION OF CHANCELLOR FOR 2020</p> <p>Ms Dawson re-entered the room.</p> <p>Nominations were called for the position of Chancellor. One nomination only was received, for Mr Scott St John (Mr Daniell/Ms Dawson).</p> <p>There being no other nominations, the Registrar declared Mr St John elected as Chancellor for a term starting on 01.01.2020 and ending 31.12.2020.</p> <p>Carried by acclamation.</p> <p>The Chancellor re-entered the room and assumed the Chair.</p> <p>11.3 ELECTION OF PRO-CHANCELLOR FOR 2020</p> <p>Nominations were called for the position of Pro-Chancellor. One nomination only was received, for Ms Cecilia Tarrant (Chancellor/Mr Ferrier).</p> <p>There being no other nominations, the Chancellor declared Ms Tarrant elected as Pro-Chancellor for a term starting on 01.01.2020 and ending 31.12.2020.</p> <p>Carried by acclamation.</p>	
	<p>11.4 ELECTION OF THE STUDENT REPRESENTATIVE ON COUNCIL</p> <p>11.4.1 Memorandum, 11.10.19 from the Returning Officer, Mrs Adrienne Cleland</p> <p>The President of AUSA, Mr George Barton advised that he would meet with the student representative on Council on a monthly basis to update him specifically with regards to Senate and student matters. AUSA also had a Student Council and Mr Barton had asked Mr Wang to be part of this group and engage with the student representatives on other University Committees.</p> <p>In the student elections only about 300 of eligible 40,000 students voted for the student representative and it was important for the future to increase this number.</p>	<p>RESOLVED (Chancellor/Mr Barton): that the memorandum. 11.10.19 from the Returning Officer be received and Mr Junyi (Johnny) Wang be appointed as the student representative on Council for a one-year term (1 November 2019 – 31 October 2020).</p>

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	<p>11.5 SHORTLISTING COMMITTEE FOR THE APPOINTMENT OF THE MĀORI REPRESENTATIVE ON COUNCIL</p> <p>11.5.1 Memorandum, 10.10.19 from the Chancellor regarding the Shortlisting Committee for appointment of the Māori representative on Council.</p> <p>Council noted that in the future it could investigate if it would be appropriate to engage Rūnanga in the process.</p>	<p>RESOLVED (Chancellor/Associate Professor Kawharu): that Council appoint a short-listing committee as mentioned and nominate Sir Ralph Norris as the additional member.</p>
	<p>11.6 ELECTIONS OF STAFF REPRESENTATIVES ON COUNCIL</p> <p>The elections of one permanent member of the academic staff elected by the permanent members of that staff and one permanent member of the professional staff elected by the permanent members of that staff will run from 12pm on 23.10.19 and finish at 12pm on 06.11.19.</p>	<p>RESOLVED (Chancellor/Vice-Chancellor): that Council note the elections of staff representatives on Council.</p>
<p>12. FAREWELL</p>	<p>Mr George Barton would be ending his term of office on Council on 31.10.19.</p>	<p>RESOLVED (Chancellor/Vice-Chancellor): that Council thank Mr George Barton for his contribution to the work of Council.</p>
<p>13 GENERAL BUSINESS</p>	<p>Last December Council passed a resolution asking the University of Auckland Foundation to review its policy on fossil fuels. Ms Tarrant advised that this had now happened and the decision had been made that, due to an increasing number of sustainable fund opportunities available in the market, the Foundation would be moving in its investment portfolio towards zero exposure to fossil fuel investments.</p>	
<p>14. LEAVE OF ABSENCE</p>	<p>(for the meeting of 09.12.19)</p> <p>Mr Ferrier advised Council that he would not be able to attend the meeting in December and asked for a leave of absence.</p>	

PUBLIC EXCLUSIONS

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

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

General subject of each matter considered:

- Item No. 1.1 Council Meeting Minutes (Part B), 26.08.19
- Item No. 2.1.1 Audit and Risk Committee Minutes, 02.10.19
- Item No. 2.2.1 Capital Expenditure Committee, Minutes (Part B), 25.09.19
- Item No. 2.2.2 Capital Expenditure Committee, Minutes (Part B) ,04.10.19 (electronic meeting)
- Item No. 2.2.3 Business Case
- Item No. 2.2.4 Accommodation Portfolio Summary 2017 to 2028
- Item No. 2.2.5 Impact of an above projected Price Increase of 1 %
- Item No. 2.3.1 Finance Committee, Minutes (Part B), 25.09.19
- Item No. 2.3.2 Financial Performance and Forecast for 2019
- Item No. 2.3.3 Recreation & Wellness Centre – Contract Commitment Authorisation
- Item No. 2.3.4 Domestic Student Fees 2020 and International Student Fees 2021 (Sections 5.5 and 5.6 and Appendix C)
- Item No. 2.4.1 University Honours Committee Reports
- Item No. 2.5 Naming Committee Reports
- Item No. 3.1 Letter to the Chancellor

Reason for passing this resolution in relation to each matter:

The protection of the interests mentioned below.

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

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

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

AND THAT Adrienne Cleland, Peter Gudsell, Simon Neale, Brendan Mosely, Micheal Rengers, Todd Somerville and Wendy Verschaeren be permitted to remain for this part of the meeting, after the public had been excluded, because of their knowledge of, or need to be briefed about, the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, was relevant to those matters because they relate to aspects of the administration of The University of Auckland for which those persons were responsible.

The meeting closed at 6.30 p.m.

The meeting went into Public Excluded session at 4.50 p.m.

Approved as a true and correct record.

Scott St John, Chancellor

Date

Memorandum to: Council
 From: Vice-Chancellor
 Date: 7 November 2019
 Subject: Matters arising from meeting of 21.10.19

6.2

At the meeting of 21 October 2019, members raised several queries which are addressed below.

Measles

There was a question about whether we had contemplated a vaccination campaign given the recent outbreaks of measles on campus.

As I explained that the Council meeting, such a campaign would likely not be effective because most members of the University community will already have protection either because they have been immunised or because they were exposed to the disease as children. There is also the issue that when outbreaks have occurred, stocks of available vaccine have been very limited.

I have consulted with the Associate Director HR (Health & Safety), Angus Clark, on this matter. He agrees with my analysis above and adds the following points:

- We did not want to go down the mandating/compulsion route and muddy a simple public health message with a freedom of choice debate.
- General messaging has gone out, and more targeted “campaigning”/health promotion has been targeted at student groups. This messaging encourages early identification of those who might have measles and engagement with health professionals.
- We do target specific areas (e.g. Liggins who might affect/be at risk from babies) with stronger messaging, and include pertussis in this messaging.

Teaching Excellence Awards and National Research Awards

There was a question about our comparative performance in the National Tertiary Teaching Excellence Awards. The table attached summarises successes by our staff in these awards, which are open to part-time or full-time teachers with more than six years' teaching experience from all parts of the tertiary education sector - wānanga, private training establishments, adult and community education, industry training organisations, institutes of technology and polytechnics, and universities.

There was also a question about our comparative performance in the National Research Awards (RSNZ/HRC awards event). The table attached also summarises successes by our staff in these awards, which are open to researchers from across New Zealand.

Stuart McCutcheon Vice-Chancellor

National Tertiary Teaching Excellence Awards 2002 - 2019

Year	No. of Awardees	UoA Winners
2019	10	Associate Professor Andrew Luxton-Reilly, Faculty of Science Dr Ngarino Ellis, Faculty of Arts Peter Bier, Faculty of Engineering Andrew Eberhard, Faculty of Business & Economics
2018	10	Associate Professor Christine Woods, Department of Management and International Business, Faculty of Business and Economics Associate Professor Mānuka Hēnare, Faculty of Business and Economics
2017	12	Associate Professor Jay Marlowe, School of Counselling, Human Sciences and Social Work, Faculty of Education and Social Work
2016	12	Associate Professor Martin East, School of Curriculum and Pedagogy, Faculty of Education and Social Work Associate Professor Tracey McIntosh, Māori and Pacific Studies, Faculty of Arts
2015	12	Dr Elana Curtis, Te Kupenga Hauora Māori, Faculty of Medical and Health Sciences Dr Eleanor Hawe, School of Learning, Development and Professional Practice, Faculty of Education and Social Work Ms Marie McEntee, School of Environment, Faculty of Science
2014	12	Ms Khylee Quince, Faculty of Law
2013	10	Associate Professor Bryony James, Department of Chemical and Materials Engineering, Faculty of Engineering Professor Alison Jones, School of Te Puna Wānanga, Faculty of Education and Social Work Associate Professor Cather Simpson, School of Chemical Sciences and Department of Physics, Faculty of Science

2012	12	No awards to UoA applicants
2011	12	Professor Michael Walker, Biological Sciences, Faculty of Science Ms Rena Heap, School of Science, Mathematics and Technology Education, Faculty of Education and Social Work Professor Robin Kearns, School of Environment, Faculty of Science Dr Ross McDonald, Department of Management and International Business, Faculty of Business and Economics
2010	11	Mrs Margaret Henley, Television and Media Studies, Faculty of Arts
2009	10	Dr Rachel Fewster, Department of Statistics, Faculty of Science Paul Denny, Department of Computer Science, Faculty of Science
2008	10	Professor John Hosking, Department of Computer Science, Faculty of Science Dr Dawn Garbett, School of Science, Mathematics and Technology Education, Faculty of Education
2007	10	Dr Christine Rubie-Davies, Faculty of Education
2006	?	Professor Rick Bigwood, Faculty of Law
2005	?	Dr Colin Quilter, Department of Anatomy with Radiology, Faculty of Medical and Health Sciences
2004	?	Dr Gary Bold, Department of Physics, Faculty of Science Dr Gerald Rowe, Department of Electrical and Computer Engineering, Faculty of Engineering
2003	?	Excellence in Collaboration Stage I Introductory Statistics Team, Faculty of Science (led by Mr Mathew Regan and Professor Chris Wild)
2002	?	No awards to UoA applicants

Royal Society Awards 2010 -2019

Year	No. of Awardees	UoA Winners
2019	17, plus 3 HRC	<p>Rutherford Medal: Distinguished Professor Jane Harding, Liggins Institute</p> <p>Hector Medal: Professor Jadranka Travas-Sejdic – School of Chemical Sciences, Faculty of Science</p> <p>Humanities Aronui Medal: Associate Professor Selina Tusitala Marsh, English and Drama, Faculty of Arts</p> <p>Pickering Medal: Professor Cather Simpson, Department of Physics and School of Chemical Sciences, Faculty of Science</p> <p>Pou Aronui Award: Professor Emiritus Roger Horrocks, Media and Communications, Faculty of Arts</p> <p>Te Rangaunua Hiranga Māori Award: Ngā Pae o te Māramatanga -New Zealand’s Māori Centre of Research Excellence, co-directed by Professor Jacinta Ruru and Professor Linda Waimarie Nikora</p> <p>HRC Te Tohu Rapuora Award: Dr Matire Harwood, Department of General Practice and Primary Healthcare, School of Population Health</p> <p>HRC Liley Medal: Ian Reid, Anne Horne and Team, Faculty of Medical and Health Sciences</p>
2018	21, plus 3 HRC	<p>Jones Medal: Distinguished Professor Marston Conder, Mathematics, Faculty of Science</p> <p>Hamilton Award: Associate Professor Maren Wellenreuther, Biological Sciences, Faculty of Science</p> <p>Hatherton Award for the best scientific paper by a PhD student: Dr Jurij Volčič</p> <p>HRC Liley Medal: Professor Cynthia Farquhar, Obstetrics and Gynaecology, School of Medicine</p>
2017	19, plus 2 HRC	<p>Callaghan Medal: Professor Peter Shepherd, Molecular Medicine and Pathology, Medical Science</p> <p>Mason Durie Medal: Professor Cris Shore, Social Sciences, Faculty of Arts</p> <p>Te Rangī Hīroa Medal: Professor Tracey McIntosh, Māori Studies and Pacific Studies, Faculty of Arts,</p> <p>Te Apārangi Early Career Researcher Award in Humanities: Dr Aroha Harris, History, Faculty of Arts</p> <p>Te Apārangi Early Career Research Award in Social Sciences: Dr Danny Osborne, Psychology, Faculty of Science</p>

		HRC Beaven Medal: Professor Alistair Gunn, Physiology, Medical Science
2016	14, plus 1 HRC	<p>Rutherford Medal: Professor Michael Corballis, Psychology, Faculty of Science</p> <p>Pickering Medal: Associate Professor Iain Anderson, Auckland Bioengineering Institute and the Department of Engineering Science</p> <p>MacDiarmid Medal: Professor Merryn Tawhai, Auckland Bioengineering Institute</p> <p>Hector Medal: Associate Professor Stéphane Coen, Physics, Faculty of Science</p> <p>Hutton Medal: Professor Wendy Nelson, Biological Sciences and NIWA Science</p> <p>Mason Durie Medal: Distinguished Professor Viviane Robinson, School of Learning, Development and Professional Practice, Faculty of Education and Social Work</p> <p>Dame Joan Metge Medal: Professor Stuart McNaughton, School of Curriculum & Pedagogy, Faculty of Education and Social Work</p> <p>Jones Medal: Emeritus Professor Alastair Scott, Statistics, Faculty of Science</p> <p>HRC Beaven Medal: Distinguished Professor Jane Harding, Liggins Institute</p>
2015	11, plus 2 HRC	<p>Rutherford Medal: Distinguished Professor Ian Reid, School of Medicine</p> <p>Pickering Medal: Professor Margaret Hyland, Chemical and Materials Engineering</p> <p>Callaghan Medal: Dr Michelle Dickinson, Chemical and Materials Engineering</p> <p>Pou Aranui Award: Professor Margaret Mutu, Māori Studies and Pacific Studies, Faculty of Arts</p> <p>Mason Durie Medal: Professor Keith Petrie, Psychological Medicine</p> <p>HRC Liley Medal: Distinguished Professor Ian Reid, School of Medicine</p> <p>HRC Beaven Medal: Professor Ed Mitchell, Paediatrics: Child and Youth Health, School of Medicine</p>
2014	12	<p>Pickering Medal: Professor Simon Malpas, Auckland Bioengineering Institute</p> <p>MacDiarmid Medal: Professor Alistair Gunn, Physiology, Medical Science</p> <p>Hector Medal: Distinguished Professor Marston Condor, Mathematics, Faculty of Science</p>

		<p>The Joan Metge Medal: Professor Alison Jones, Education -Te Puna Wānanga</p> <p>The Humanities Aronui: Distinguished Professor Brian Boyd, English, Faculty of Arts</p>
2013	11, plus 1 HRC	<p>Rutherford Medal: Professor Dame Anne Salmond, Māori Studies, Faculty of Arts</p> <p>MacDiarmid Medal: Professor Neil Broom, Chemical and Materials Engineering</p> <p>Callaghan Medal: Dr Siouxsie Wiles, Molecular Medicine and Pathology, Medical Science</p> <p>Thomson Medal: Dr Peter Lee, former CEO, Auckland UniServices</p> <p>Pickering Medal: Sir Arthur Harold Marshall (Emeritus Professor), Architecture, Faculty of Creative Arts and Industries</p>
2012	15	<p>Rutherford Medal: Distinguished Professor Margaret Bimble, Chemical Sciences, Maurice Wilkins Centre</p> <p>MacDiarmid Medal: Distinguished Professor Margaret Brimble</p> <p>Hector Medal: Distinguished Professor Margaret Bimble</p> <p>Pickering Medal: Professor David Williams, Chemical Sciences, Faculty of Science</p> <p>Mason Durie Medal: Professor Russell Gray, Psychology, Faculty of Science</p> <p>Pou Aronui Award: Professor Jonathan Mane-Wheoki, Fine Arts, Faculty of Creative Arts and Industries</p> <p>Sir Charles Hercus Medal: Professor John Fraser, Faculty of Medical and Health Sciences</p>
2011	9, plus 1 HRC	<p>Pickering Medal: Professor David Ryan, Faculty of Engineering</p> <p>Callaghan Medal: Professor Sir Peter Gluckman, Liggins Institute</p> <p>Professor Rod Gover (Mathematics) elected a Fellow of the Academy of the Royal Society of NZ</p>
2010	8, plus 1 HRC	<p>Jones Medal: Professor Emeritus John Butcher, Mathematics, Faculty of Science</p>

Appendix D**Fees Schedule A - All Students**

	Fee
Admission (domestic students only)*	
Admission ad eundem statum through overseas tertiary study	\$100
Admission ad eundem statum through overseas secondary study	\$85
Discretionary Entrance, Special Admission	\$60
<i>*Fees for admission assessment (ad eundem statum) will be offset against tuition fees.</i>	
Admission (international)*	
Admission ad eundem statum through overseas tertiary study	\$100
Admission ad eundem statum through overseas secondary study	\$85
<i>*Admission fee will be offset against tuition fees. Fee does not apply to applicants applying through a registered Agent, under an Articulation Agreement with partner institutions, through Study Abroad Agreements or to NZ Aid Scholarship applicants.</i>	
External Transfer Credit	
Each application from any study undertaken at another tertiary institution (eg, Summer School, concurrent enrolment at another institution)	\$85

Each application from any study undertaken at an overseas tertiary institution	\$85
Enrolment Fees	
Enrolment after enrolment closing date and before the addition/deletion date	\$60 per course
Late enrolment after addition/deletion date and before the last day of lectures	\$120 per course
Reinstatement/Late Reinstatement	
Course reinstatement fee, per course (after an enrolment in a course has been cancelled or deleted)	\$30
Refund Processing	
Refund processing fee	\$60
International admission administration fee (applies to new international students only) charged at time of refund	\$1,000
Instalment Payment, Deferred or Delayed Payment Surcharge	
Instalment payment, deferred or delayed payment surcharge	\$60
Late Payment Fee	
Late Payment Fee (tuition fees and student services fees)	\$120

Late Payment Fee (examination fines and charges)	\$60
Academic transcripts and letters	
ID card replacement	\$20
Hard copy transcript or official letter	\$30
Hard copy transcript or official letter – urgent delivery	\$120
Each additional hard copy - transcript or official letter	\$10
Special statements (eg, admission to the Bar)	\$30
Reconsideration of Academic Standing	\$60
Reconsideration of Academic English Language Requirements discontinuation	\$60
Digital transcript for Graduands/Alumni via My eEquals from 2010 onwards	NIL
Digital transcript via My eEquals – with any changes to enrolment post-Graduation or for students who have not completed a formal award or for Alumni graduated prior to 2010	\$30
Digital letter via My eEquals	\$30
Degree or Diploma Certificate	
Hard copy certificate at Graduation or in Absentia	NIL

Digital certificate via My eEquals - following Graduation	NIL
Replacement of hard copy certificate	\$85
Courier and handling charges	
Within New Zealand	\$10
To Australia	\$30
To all other countries	\$60
Examinations	
Recount of marks, each course (refundable if successful)	\$60
Examination script (per copy)	\$15
Aegrotat and Special Conditions	
Each examination application (per course)	\$30
– up to maximum of	\$50
Each test application (per course)	\$10
Examinations sat in New Zealand but outside University of Auckland campuses	
Application for single examination per venue	\$140
Application for each additional examination at the same venue	\$30

Examinations outside New Zealand

Application for single examination per venue	\$175
Application for each additional examination at the same venue	\$30

Examinations sat outside the timetable

Application for single examination on a day other than timetabled	\$120
Application for further examination on a day other than timetabled	\$30

+ Declined applications will receive a 50% refund of the relevant examination application fee

Student Services Fee*

Student Services	\$7.06 per point
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- Students enrolled under approved University exchange schemes.

~~• Students enrolled in Tertiary Foundation Studies programme.~~

To apply for an exemption, please complete the AS-04 Student Services Fee exemption form at https://uoa.custhelp.com/app/answers/detail/a_id/3346/kw/exceptions%20fee

Note: Full-time Staff Members who are enrolled for programmes may not use Student Services except on payment of standard charges for non-student users.

***Student Services Fee Exceptions**

On application to the Director, Academic Services, the following students may be exempted the requirements to pay the Student Services Fee to use Student Services if they are:

- Students living outside Auckland and not using University facilities other than the Library.
- Students enrolled in programmes/courses taught by distance learning or other such programmes/courses as advised by the Director, Campus Life from time to time.

VICE-CHANCELLOR'S REPORT TO COUNCIL 9 December 2019

1. HEALTH AND SAFETY

Indicators		Last Year	Current Year			
			To Date (1 November)		End of Year	
		Actual	Target	Actual	Target	Forecast
87	Rates of accidents and injuries	515	494	446	≤ 750	≤ 650

Comment:

There have been five notifiable incidents recorded in 2019.

There has been one 'notifiable event' since the last report: Of the total number of accidents and incidents reported for 2019 to date, 0 are classified as 'notifiable event' involving 'staff', 1 for 'students', 3 for 'contractors' and 0 for 'third parties'.

The notifiable incident occurred when a contractor in a building under construction came into contact with unterminated electrical wiring that had inadvertently been made live, and received an electric shock

An update on developments follows:

Current HSW Issues

1. The University Health, Safety and Wellbeing Committee met on Tuesday 12 September. Following a presentation from the AD, Student Engagement & Wellbeing, it was agreed to include student mental health reports and dashboards in the regular reports considered by the Committee. A further presentation on risk workshops for areas of complex health and safety risks was deferred until February 2020.
2. Since 5 August, there have been 23 confirmed or probable cases of measles in our community – mainly students, but including one child and one staff member in two Early Child Centres. A Level 2 Incident Management Team (IMT) was re-convened at that time and continued to deal with communications for all affected classes and possible contacts. There is still a Phase 3 outbreak in the wider community, but the rate of new confirmed cases has slowed in recent weeks. The IMT continued its watching brief during examinations, and conducted a poster campaign adapted from ARPHS materials at the major examinations centres. Provided there are no further confirmed cases in the coming weeks, the IMT will be formally de-escalated by the end of November.

Incident Data

The remaining information provides detailed health and safety lag indicator statistics for the University during the period 01 January– 31 October 2019. The incident data, including accidents, are presented at University level and broken down by Faculty or Service Division level, where appropriate. Additional Faculty and Division information has been provided in Tables 6 and 7.

Table 1: 'Notifiable Event' Occurrences by Month

**Usage is based on approximate employee headcount of 5,250 employees and 41,866 students. Serious Harm is a 'notifiable event' reported to WorkSafe New Zealand. Figures have been adjusted to reflect the date of incident occurrence not the date notified, as per previous reports.*

Notifiable Event	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Employee	0	0	0	0	0	0	0	0	0	0			0
Student	0	0	0	0	0	0	0	1	0	0			1
Contractor	0	0	0	1	0	0	0	0	1	1			3
Third Party	0	0	0	0	0	0	0	0	0	0			0
Total	0	0	0	1	0	0	0	1	1	1			4

*Data added in retrospect.

4 Notifiable events for period January to October 2019.

Table 2: Injuries by Month

An Injury is defined as when "an accident has given rise to injury or ill health."

Injury	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Student	0	5	18	11	15	5	3	7	9	10			83
Employee	18	26	19	17	31	24	26	22	14	13			210
Contractor	0	0	0	0	0	1	0	0	2	1			4
Third Party	0	0	3	0	0	0	3	0	4	0			10
Total	18	31	40	28	46	30	32	29	29	24			307

Table 3: Incidents by Month

An Incident is defined as "any unplanned event having a potential for injury, ill health or damage to plant, property, equipment or the environment. This may also be termed a 'near-miss' or 'close call'."

Incident	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Student	0	0	5	0	3	1	2	5	0	1			17
Employee	1	8	16	6	14	9	10	9	8	7			88
Contractor	0	0	0	1	1	1	0	0	0	1			4
Third Party	0	1	0	0	0	1	0	2	1	0			5
Total	1	9	21	7	18	12	12	16	9	9			114

7

Table 4: Treatment Required by Month

Table only shows treatment for employees.

Treatment	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
No Treatment	3	4	4	2	8	6	5	6	1	3			42
First Aid	11	16	7	10	15	13	16	15	10	8			121
Medical Treatments	4	5	8	5	8	5	5	1	2	1			44
Hospital	0	0	0	0	0	0	0	0	0	0			0
Total	18	25	19	17	31	24	26	22	13	12			207

Table 5: Lost Time Injuries by Month

Table only shows LTI for employees.

Lost Time Injury	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Number of LTIs	1	3	5	1	2	0	1	0	1	1			15
Total Days Off	0	0	0	0	0	0	0	0	0	0			0

**Table 6:
Faculty/Service Division Breakdown Employee**

Employee	Notifiable Event	Injury*	Incident	Total
Academic Services	0	7	0	7
Bioengineering Institute	0	0	3	3
Campus Life	0	17	10	27
Chief Digital Officers Office	0	2	0	2
Communications & Marketing	0	0	0	0
Equity	0	3	0	3
Faculty of Arts	0	15	4	19
Faculty of Business & Economics	0	13	3	16
Faculty of Creative Arts & Industries	0	4	3	7
Faculty of Education & Social Work	0	14	2	16
Faculty of Engineering	0	12	5	17
Faculty of Law	0	4	2	6
Faculty of Medical & Health Sciences	0	32	13	45
Faculty of Science	0	32	22	54
Finance	0	2	0	2
Human Resources	0	5	3	8
Information Technology Services	0	2	1	3
Libraries & Learning Services	0	5	3	8
Liggins Institute	0	1	4	5
Māori	0	0	0	0
Org Performance & Improvement	0	3	0	3
Planning & Information	0	0	0	0
Property Services	0	10	6	16
Research Programmes	0	0	0	0
School of Graduate Studies	0	0	0	0
Strategic Engagement	0	8	0	8
Tāmaki	0	0	0	0
UniServices	0	9	5	14
University Management	0	1	0	1
Total	0	201	89	290

* Notifiable event is included in the Injury Total. Note - data has been modified and back dated to reflect the changes in the service division restructures.

Employee	Notifiable Event	Injury*	Incident	Total
Academic Services	0	0	0	0
Bioengineering Institute	0	0	0	0
Campus Life	0	0	14	14
Chief Digital Officers Office	0	0	0	0
Communications & Marketing	0	0	0	0
Equity	0	0	0	0
Faculty of Arts	0	1	1	2
Faculty of Business & Economics	0	2	1	3
Faculty of Creative Arts & Industries	0	0	2	2
Faculty of Education & Social Work	0	0	1	1
Faculty of Engineering	0	1	3	4
Faculty of Law	0	0	0	0
Faculty of Medical & Health Sciences	0	33	0	33
Faculty of Science	1	32	7	40
Finance	0	0	0	0
Human Resources	0	0	0	0
Information Technology Services	0	0	0	0
Libraries & Learning Services	0	0	1	1
Liggins Institute	0	0	0	0
Māori	0	0	0	0
Org Performance & Improvement	0	0	0	0
Planning & Information	0	0	0	0
Property Services	0	0	0	0
Research Programmes	0	0	0	0
School of Graduate Studies	0	0	0	0
Strategic Engagement	0	0	0	0
Tāmaki	0	0	0	0
UniServices	0	1	0	1
University Management	0	0	0	0
Total	1	70	30	101

**Table 7:
Faculty/Service Division Breakdown Student**

7

* 'Notifiable Event' is included in the Injury Total

2. ACCOMPLISHED AND WELL-SUPPORTED STAFF

2.1 After six years of excellent leadership of the Faculty of Engineering, Professor Nic Smith will be stepping down as Dean on 13 March 2020 to take up the appointment as Provost at Queensland University of Technology. The appointment process for a new Dean of Engineering is underway.

2.2 Professor Stuart Dalziel has been appointed to the Cure Kids Chair of Health Research.

2.3 At the Research Honours Aotearoa dinner on 17 October 2019, the following researchers received awards:

- Distinguished Professor Jane Harding, Liggins Institute, was awarded the Rutherford Medal
- Professor Jadranka Travas-Sejdic, School of Chemical Sciences, was awarded the Hector Medal
- Associate Professor Selina Tusitala Marsh, School of Humanities, was awarded the Humanities Aronui Medal
- Emeritus Professor Roger Horrocks, School of Social Sciences, was awarded the Pou Aronui Award
- Ngā Pae o te Māramatanga was awarded the inaugural Te Rangaunua Hiranga Māori Award
- Professor Cather Simpson, Physics, was awarded the Pickering Medal
- A team led by Distinguished Professor Ian Reid and Dr Anne Horne, School of Medicine, were awarded the Liley Medal
- Dr Matire Harwood, School of Population Health, was awarded the Te Tohu Rapuora Award

2.4 In late October, Professor Harding was also named the Supreme Winner at the Women of Influence Awards, for her contribution to neonatal hypoglycaemia research.

2.5 Yvonne Anders, Senior Research Fellow at the Liggins Institute, has won the 2019 L'Oréal-UNESCO New Zealand For Women in Science Fellowship.

2.6 Andrew Eberhard, Director Business Masters, has been named as this year's winner of the Prime Minister's Supreme Award at the 2019 Tertiary Teaching Excellence Awards. Andrew was also honoured last month with a 2019 Ako Tertiary Teaching Excellence Award. Other recipients of the 2019 Tertiary Teaching Excellence Awards for sustained excellence in teaching are Dr Ngarino Ellis, Faculty of Arts, Associate Professor Andrew Luxton-Reilly, Faculty of Science, and Peter Bier, Faculty of Engineering.

2.7 The Faculty Administration Review (FAR) completed its implementation phase in December 2014. This marked the commencement of the formal benefits realisation phase of the programme. VCDD recently reviewed a report, 5 years on, of key performance indicators related to FAR benefits realisation.

Key objectives of the FAR programme	Benefit indicators
1. Provide clear and meaningful career pathways for professional staff.	<ul style="list-style-type: none"> Increased internal mobility of professional staff. Post FAR the level of mobility continues to improve. Staff survey results for satisfaction with career progression have risen more modestly. Voluntary turnover for permanent staff remains low, at an average of 7% over the past two years.
2. Streamline and standardise roles and processes across faculties to increase efficiency and service delivery.	<ul style="list-style-type: none"> Proportion of faculty professional administration staff [excluding research-related roles] who hold a generic position increased from 34% (pre FAR) to 90% (post-FAR).
3. Provide consistent and strengthened support for academic heads.	<ul style="list-style-type: none"> The staff service centre pulse survey results have improved from an average satisfaction rate of 82% in 2017 (when the survey began), to 89% in 2019.
4. Strengthen our professional staff leadership capability.	<ul style="list-style-type: none"> The category score (for professional staff) from the Staff Survey for "Immediate Manager" questions has improved from 73 to 78.
5. Enable the organisation to more readily adapt and change.	<ul style="list-style-type: none"> Improved employee engagement. Engagement scores for professional staff in the staff survey have risen from 73 pre-FAR, to between 77 and 79 in the three staff surveys post FAR.
6. Reduce costs.	<ul style="list-style-type: none"> As noted in 2018 Cubane UniForum benchmarking report; "Auckland's 'operating efficiency' for transactional services has improved 12pp since 2015".

2.8 The CRM Services team celebrated a milestone achievement in deployment of the web version of Oracle Service Cloud (now branded as 'Service Cloud Web'). This will enhance the experience for over 500 staff from over 30 business areas at the University to manage student and staff enquiries.

2.9 The Agile Team held the first IT Programme Increment Planning (PIP) over two dates (due to the number of attendees) on 11 September and 21 October. PIP is a full day of focused planning with all the IT teams, stakeholders, and product owners/managers in one place to review the current and future program of work to determine the direction of the business and the allocation of technical resources. From the PIP sessions a board is generated, which records the work and dependencies. The next step is for this board to be created into a digital form so it can be easily viewed by all involved parties so the teams can visibly see what work is in progress/planned and can allocate required resources.

2.10 The IT Business Relationship Managers have been working closely with Faculty stakeholders to ensure they are well-supported to achieve their strategic and tactical needs. These include:

- CAI – ensure key technology requirements are in place prior to commencement of the new Design School from Semester 1 2020. This includes BYOD, specialised software, specialised printers and desktop devices for Staff.
- Engineering - Overseeing the deployment of a new Digital Signage and Room Booking solution (AppSpace) required for the new building. Managed Print Service phase II and III are underway including the print device requirements for the new building.
- Science – Progressing the implementation of Field Friendly application for SBS to support greater transparency for staff carrying out field research.
- Arts – Continue to scope out a potential Media Asset Management solution, working closely with Architecture and a third-party vendor who has provided a legacy solution for the Faculty.

2.11 The refurbishment of 58 Symonds Street, Levels 1,2 and 3 will be completed before the end of the year bringing all of the Connect teams into the one building (currently some teams are located at 49 Symonds Street).

2.12 The recent Connect and Digital Services Staff Diwali event, the celebration of light, was well attended. The event provided an opportunity for staff to learn more about the Indian culture, to taste the Indian food, dress in the colourful traditional clothes, view examples of the art of Rangoli, have henna art, taste Masala tea, and participate in a Bollywood dance.

2.13 Digital Services held a Wellbeing at Work day providing staff with the opportunity to learn and participate in wellness activities like yoga, relaxation, Qi Gong, meditation and juggling. Speakers from the Mental Health Association and Anytime Fitness presented on the importance of diet, sleep and other wellness activities to assist staff with stress, anxiety and general wellbeing.

2.14 The goals of the Academic Leadership Framework project are:

- Clarity and consistency of academic leadership roles, recognition and support
- A delegation framework that supports timely student-centric decisions
- A delegation framework that values academic time and supports effective decision-making.

VCDD has endorsed the generic role descriptions and guidelines for faculty and LSRI leadership roles of Deputy Dean/Directors and four core Associate Dean/Director roles. The guidelines cover a set of principles, the support package, workload support and the reporting lines, selection and appraisal. Faculty/LSRI-specific transition plans are being completed this year. Programme Director discovery interviews have been completed with general agreement on the accountabilities for the roles. Guidelines are being developed and validated through an engagement process, a change impact assessment will be undertaken followed by implementation planning.

Discovery work for course level roles has been finalised this month and roles descriptions are being developed. All roles are being reviewed against the Academic Audit Cycle 6 plan. Delegation framework principles and structures, and maintenance process have been approved by the Education Committee and the Senate; planned to take (including updated policy and schedule) to Council in February 2020. Other delegation activities are focussed on the roles within project scope.

2.15 The IRiS Benefits Realisation and Transition programme of work continues with a focus on completing in-scope deliverables and transitioning ownership of operational activity and ongoing improvements to functional areas. The programme will close at the end of 2019 and scope to be delivered prior to this date includes;

- Continued improvements to research reporting
- Continuation of professional development and Service Essentials roll out
- Establishment of a CoP for Technical Services
- Agreement on the Research accounting improvements to be introduced and research budget simplification
- A review of administrative support requirements for Research Centres

2.16 The Job Evaluation and Remuneration project is delivering a new job classification system for professional staff positions. The objective is to equip the University with a modern, robust, fair and transparent remuneration and reward framework for professional staff. The majority of Professional staff have now been advised of their job evaluation band, the new remuneration ranges, the

remuneration framework changes, and the associated transition approach. A small number of positions are 'on hold' due to more information being required. The new framework is due to go live at the beginning of February 2020.

2.17 The Recruitment Technologies Project has implemented a solution to improve the University's online recruitment and onboarding experience for job applicants and new staff. The project went live on 2 September 2019. This included SmartRecruiters (the applicant tracking software), end-to-end system integration, and standardised business processes to support the recruitment of the best possible candidates through better applicant experience. SilkRoad Onboarding software has been implemented to manage all hires, after offer acceptance. This provides a consistent candidate experience, improves data integrity, reduces the effort to collect candidate data, and ensures acceptance of University policies. The transition stage is in its final stages and the project will close by the end of November.

2.18 Over the course of the past year a project has been underway to review the learning design and curriculum development support available to members of the academic staff. It is planned to create a central team of learning design specialists and related technical support whose members will work with faculties to address strategic priorities emerging from accreditation exercises, academic unit and programme reviews and other quality assurance processes. Faculties will appoint curriculum design specialists who will work with academic units and associate deans to identify and prioritise faculty needs and to schedule work programmes with the central team. The central facility will utilise expertise currently located in some faculties, CleaR and Libraries and Learning Services.

As a consequence of these changes, academic professional development and research in higher education activities which have been carried out by CleaR staff will be relocated to Professional and Organisational Development in Central HR and the Faculty of Education. These changes would come into effect in 2020. A proposal addressed to staff potentially affected by these changes was subject to consultation in late October and November. A consideration of feedback was concluded in late November.

2.19 During the course of 2019 work has been undertaken on academic governance structures in the University. The project has focused on core deputy and associate dean roles (Academic, Postgraduate, Research and Teaching and Learning) and academic leadership at programme and course levels. A set of consistent position descriptions and conditions of appointment have been established for deputy and associate deans' roles and work is ongoing to identify delegations attached to these positions. Faculties will adopt these arrangements as terms of incumbents come to an end. A framework for three levels of programme leadership will be subject to validation with current office holders during the rest of this year and work is ongoing on specifications for course director and course coordinator roles.

2.20 The new Research and Study Leave Policy was approved by the Staff Advisory Committee on 30 October and will take effect from 1 January 2020. The new Policy, Procedures and Guidelines are now available on the [Policy Hub](#).

2.21 An offer has been made to academic staff on an individual employment agreement of a 2% salary increase with effect from 1 February 2020, and salary increases of no less than 2% from 1 February 2021 and again from 1 February 2022. In each of the latter two years, should government funding of the Student Achievement Component be increased by more than 2%, then salaries would increase by the same percentage. Professional staff on an individual employment agreement will be offered the same in early December as part of the professional staff annual salary review. The same offer has also been made to staff who are members of the unions through their union representatives.

3. ABLE STUDENTS, SUCCESSFUL GRADUATES AND ALUMNI

Indicators		Last Year	Current Year			
			To Date (1 November)		End of Year	
		Actual	Target	Actual	Target	Forecast
32&37	Total EFTS	33,805	34,313	34,180	34,342	34,208
30,31,35,36	% Research postgraduate EFTS	8.9%	8.7%	8.7%	8.7%	8.8%
29&34	% Taught postgraduate EFTS	16.3%	16.0%	16.0%	16.0%	16.0%

Comments on the KPIs:

At a University level, EFTS have grown by 390 EFTS compared with this time last year (domestic and international). At the end of the year we expect to have achieved an increase compared to 2018 of just over 400 EFTS. This increase is driven by international funded students. The domestic funded EFTS have been declining since 2014, with the 2019 forecast, compared to 2018, indicating a marginal decline of approximately 20 EFTS.

International funded postgraduate taught masters enrolments (7T) have increased with all faculties, with the majority evident in the Faculties of Business & Economics and Engineering. At year end, undergraduate EFTS will be about 150 EFTS below budget (-0.5%) and research postgraduate about 20 EFTS (-0.7%) below budget.

The domestic EFTS are at the same level as in 2018, although with a different distribution between the funding levels. Undergraduate EFTS have increased by over 30 EFTS and postgraduate research EFTS by almost 20 EFTS. Taught postgraduate EFTS are close to 50 lower than in 2018. The value of the domestic EFTS is around 1% above the TEC funded allocation which will be confirmed following the final SDR submission.

Year-end international EFTS are forecast to be well over budget. The budget was 5,216 EFTS, while 5,454 EFTS is expected.

Indicators		Last Year	Current Year			
			To Date (1 November)		End of Year	
		Actual	Target	Actual	Target	Forecast
41	Doctoral theses completions	394	488	390	520	447
40	Masters theses completions (PBRF eligible)	888	690	750	794	815

Comments on the KPIs:

The number of research masters completions is on track to exceed the target of 794 completions. With 815 completions the forecast for the end of year is slightly lower than 2018, which was an exceptionally good year. Compared to 2018 there will be a slight increase in the number of doctoral completions, although we won't exceed the ambitious target.

The number of commencing doctoral students, which provide the pipeline of future years' completions, is higher than at this point in 2018. Currently there are 607 commencing doctoral students enrolled, an increase of 50 students compared to last year. Of the 607 new doctoral students, 270 are local and 337 are from overseas, compared to respectively 253 and 304 in 2018.

3.1 Stress Less Week ran from 7-11 October to support students ahead of study break and exam period. A chill out zone, free yoga and HIIT classes, a nutrition seminar, and exam seminars were held throughout the week. For the first time, the University hosted therapy dogs on campus, which was a popular activity with the students.

3.2 A learning programme has been created for both students and staff to improve awareness of bullying, harassment and discrimination. This two-part programme has been developed as part of providing a safe and inclusive place for our community at the University. Part one is a self-paced online module delivered via Canvas and is designed for all students. Part two is an in-person workshop and is designed for student leaders including Residential Advisors, UniGuide Leaders, AUSA Executive, Faculty Executive and other student leadership roles. Training for students will be rolled out from early 2020.

3.3 The annual Clubs Awards was held in the Pavilion on 3 October. The Muslim Students' Association won the Supreme Club of the Year award in honour of their strength and focus in the wake of the Christchurch terror attack. Fourteen awards in total were presented.

3.4 The annual Sports Awards was held in the Fale Pasifika on 18 October. Nine awards were presented for Individual Sports Excellence, seven awards were presented for Interfaculty Sport, and six awards were presented for Tertiary Sport.

3.5 The University of Auckland was awarded the University and Tertiary Sport New Zealand (UTSNZ) shield for the fourth year in a row. The shield is in its 96th year and is awarded to the tertiary institution with the highest number of competition points gained across performances in UTSNZ's ten national tertiary championship events throughout the year.

3.6 On 23 October, the Recreation Centre held a Farewell Event to say goodbye before construction begins on the new Recreation and Wellness Centre. The theme was 'journey through the ages' – hosting both students and staff dressed in costumes from the 70s through the 90s to honour the facility's opening in 1978. In total, 140 people attended. The interim Recreation Centre, located at 70 Stanley Street, will open late January 2020 and the interim Sports Courts, located on Wynyard Street, will open by Semester Two, 2020.

3.7 The 2020 student enrolments opened at 6.50am Friday 1 November and had over 1000 enrolments before 7am. By 7.30am there were 6073 enrolled classes and 95 waitlisted classes.

3.8 The Connect internship attracted 171 applicants, with 5 successful University of Auckland student placements. The students are from Computer Science and Engineering degrees and will be working alongside Developers during the 10-week internship that runs over the summer break. Throughout the internship there will be workshops on career development and shadowing of other departments in

Connect to get an understanding of potential career paths. The interview panel was impressed with the talent we have in our students and with the Graduate programme launching in 2020 it's an exciting time to be able to help our graduates grow as young professionals.

3.9 The Digital Services Graduate programme will commence in February 2020 and provides opportunities for up to 4 graduates. The intake will consist of Developer and System Engineer roles over an 18-month programme. During the programme graduates will rotate through three different work streams to understand different technology areas in Connect, gain experience in customer-facing roles and shadow different roles in Digital Services.

3.10 From the start of semester Two, 165 lecture recording-capable rooms record over 1000 hours of content a day equating to 0.5TB daily. Over the exam period the number of students streaming recordings increased significantly, resulting in a degradation of service. In response, a transcoding server will be replaced with a high spec unit to ensure future demand growth is met without strain on the infrastructure.

3.11 A new collaborative space booking system has been approved for the Engineering students at the Newmarket campus and new 405 engineering building. It allows students to book rooms either immediately or 7 days in advance using touch screens. This function is at no extra cost to the feature-rich cloud-based digital signage system being setup for use from January 2020.

3.12 Over 400 PhD Oral exams were conducted through the year using a dedicated three-display screen video conference setup. The survey response recorded a 100% satisfaction rate. The cost saving of not having either the overseas examiner or student travelling to NZ is considerable.

3.13 The Leigh Marine audio visual upgrade project design includes a 92" display screen which has self-help interactive panels providing visitors with a visual experience of marine science and the facility.

3.14 The pilot Virtual Classroom at Epsom campus has drawn the attention of the Business School for something similar for the new Financial Lab project. The system allows for off-campus students to participate as members of the several individual groups on-campus and in combined group discussions while the lecturer can choose to join any individual group or address the whole class separately.

3.15 An outdoor brand campaign in South Auckland promoting that a 'new South Auckland location opens 2020' is currently in market until March 2020. The media is a mixture of billboards, bus backs, and street panels. The South Auckland brand campaign supports the digital and outdoor activity that is currently in market via the Faculty of Education and Social Work.

3.16 Foundation programmes such as New Start, Tertiary Foundation Certificate and also summer programme UniBound are being supported with advertising activity. Promotional information is provided for mature learners, Māori and Pacific school leavers, or those who may have no UE or a low rank score. The campaigns are running from now until March 2020 and the media channels used are radio, digital and street posters.

3.17 Undergraduate and postgraduate prospectuses are underway, with a new design for both publications. Prospectuses will continue to showcase student and graduate profiles and will be supported with online videos on the University YouTube channel. The marketing automation platform (Oracle Eloqua) continues implementation across the faculties, and is currently supporting personalised communication for the Faculty of Arts and the Business School.

3.18 Admission - Recruitment activity is continuing at pace across the institution as we respond to changes in the domestic and international recruitment markets. We are continuing to see strong growth in international interest with applications up 8% overall including a 17% increase in Postgraduate applications. However, a reduction in New Zealand school leaver applications of 4% has transpired, primarily associated with demographic trends. Whilst we do have a reduction in the number of domestic applicants for 2020 study, the new Apply to Study application platform, which now requires up-front submission of supporting documents, has led to an increased proportion of applicants progressing to admission. This has been particularly evident for transferring students. Overall there has been a 30% increase in firm offers to domestic applicants and a 37% increase for international applicants.

3.19 Enrolment support - We have developed an extensive applicant support programme to improve the experience of admission and enrolment for 2020. Priority activities include increasing FastTrack offers, promoting pathway programmes, particularly the Tertiary Foundation Certificate, case management of applicants who have accommodation offers to ensure the processes are coordinated and case management of Māori and Pacific applicants to support them into either degree level or pathway programmes. We are continuing to promote University accommodation, planning a series of events in South Auckland to strengthen our presence there and support the opening of new facilities for Semester 1, 2020 and extending our regional advice sessions across the country. This year's revised FastTrack offer process has to date resulted in a significant increase in the number of offers made to high achieving school leavers for 2020. In the week since enrolment opening we have seen a 27% increase in FastTrack enrolments. There will be continuing rounds of FastTrack offers until mid-December.

3.20 Student Digital Journey programme - The Student Digital Journey (SDJ) programme commenced in January 2018 and is set to wrap up in December. While the programme itself is coming to an end, the vision and work will continue in 2020 (and beyond) through transition to business-as-usual activity in the appropriate delivery teams. We have already started to see significant benefits from the new Apply to Study (ATS) system. The number of un-submitted applications has dropped significantly (by more than 50%) compared to the same time last year. This is even more significant considering our benchmark figures from 2018 do not include applications from international applicants. It also aligns with the behaviour we previously noted in interactions with ATS and Student Contact and Support:

- The number of sessions per user has dropped, meaning there's less effort for applicants to complete an application
- The number of pages per session has increased, meaning applicants are completing more of their application in one sitting
- Future student enquires have increased but the nature of the enquiries has moved away from "how do I apply" and "I can't complete my application" to "I'm interested in..." and "I want to be a ..., should I complete this degree".

The June release of the Student Progress and Performance tracker in the Student Portal has resulted in a 17% reduction in students accessing help on how to self-calculate performance. The ability for current students to complete 'what if' scenarios, if they are thinking of changing their current programme or major/specialisation, has also had steady usage since the soft-launch in September.

3.21 Doctoral Candidature Management - The build is underway for a portal-based system that will allow the University to better manage doctoral candidature from acceptance to graduation. It's a comprehensive and time-saving solution for doctoral candidates, their supervisors, academic heads and all the other parties involved in our doctoral programmes. The system will take doctoral administration online for a cleaner, smarter workflow that will improve the experience for everyone. It is a customised version of Haplo PhD Manager, developed to integrate with existing University of Auckland systems and simplify workflows. The established project team is co-located together in Fisher Bldg. Haplo, the preferred solution vendor, has had one resource on site since early July and a team in London that

continue to build the Haplo solution. We have started the planning for user acceptance testing of components that have been developed. The build is on track for implementation in the first half of 2020.

3.22 The CAI Design Programme will complement the University's comprehensive educational offerings at the intersection of art, design and science. From 2020, the University will offer a Bachelor of Design degree together with a suite of conjoint options that allow students to pursue a second undergraduate degree alongside Design. There are conjoint options for Design and Advanced Science, Arts, Commerce, Engineering, Global Studies, Health Sciences, Law, Music, Property, and Science. A Master of Design degree will be added in 2021.

[Dr. Deb Polson](#), Head of Design, had already aligned the Design Programme with the United Nations' Sustainable Development Goals (SDGs) when the University of Auckland was ranked 1st in the world for impact in the inaugural University Impact Rankings by Times Higher Education. Just like the University of Auckland, the Design Programme is about developing the world in a sustainable way and aims to prepare designers to tackle the significant local and global issues of our time, for jobs that don't yet exist and technologies that have yet to be invented.

The construction works continue to progress well and are still on track for the programme and are working to the same timescale completion in January 2020.

3.23 STEM Online NZ is an interactive online teaching and learning resource for NCEA externally assessed standards in STEM (science, technology, engineering and mathematics) subjects. The online resources are funded by a private donor and they are available to all secondary schools in New Zealand, at no cost.

The project team is developing STEM Online resources in three subject areas; Mathematics, Physics and Chemistry. In addition to this, the team has been contracted by the Ministry of Education to develop 12 Digital Technologies online modules in both English and Te Reo Māori. Six of the online modules are complete and being used by schools and students. A further six are being developed during 2019 and 2020.

There are now 5,671 students registered and accessing the online modules; 1,760 students using STEM Online NZ resources and a further 3,911 students registered and using the Digital Technologies online resources.

3.24 The goal of the Student Services Strategy initiative is to "develop and agree the Student Services Strategy and setup a programme for implementing identified key initiatives." The aspiration or vision for the strategy is to provide a transformative and inspirational student services experience which encourages a lifelong connection with UoA. Themes from 2018 workshops with a diverse group of students and a wide range of academic and professional staff were collated and then distributed to participants in March 2019. A draft strategy was endorsed by SLT for a two-month university-wide consultation for all staff and students to provide feedback. Feedback has been collated, themed, and a report compiled that consolidates the feedback under these themes and also indicates how the feedback has been incorporated into the strategy. The strategy has been updated based on the feedback and now also includes outcome measures.

3.25 On October 2 alumni and friends in New York were hosted by the Vice-Chancellor at an event held at The Flat. The guest speaker was Professor Rod Dunbar, addressing the Campaign For All Our Futures question "Can we dramatically improve cancer survival rates?" More than 50 attended. The following week, on 9 October, alumni and friends in London were hosted at a similar event, held at the St Pancras Renaissance Hotel and featuring the Vice-Chancellor and Professor Dunbar. There were 95 attendees.

3.26 A very successful event was held on October 21 to celebrate 10 years of the Chinese Alumni Club, drawing 200 participants. The programme included addresses by the Vice-Chancellor Stuart McCutcheon, Deputy Vice-Chancellor Jenny Dixon and Rachel Yang, Founder of the Chinese Alumni Club. A panel discussion explored the sustainability of Chinese businesses in New Zealand. Panel members included Arthur Loo, Partner and Founder of Loo and Koo, Sam Yin, Founder and Managing Director, Hou Garden.com and Marisa Fong, Director Masimaya Limited.

3.27 The Golden Graduates Lunch attracted 325 attendees this year, a significant increase on recent years, and likely to have been boosted by a communications campaign one month prior to the invitations being mailed. The event was held at the Cordis Hotel on 24 October and began with networking. The formal programme included a reminiscence address from former Vice-Chancellor Sir Colin Maiden, a University update from the Vice-Chancellor and the keynote address from Dean of Engineering Professor Nic Smith, followed by Q&A.

3.28 In early November the University's 2019 "40 Under 40" list was announced, the third year of celebrating outstanding achievements and contributions from alumni aged under 40 years. The list includes alumni from many fields, organised into six categories: Disruptors and Innovators, Performers, Humanitarians, Influencers, Business Leaders and Entrepreneurs. Some of the newly-named awardees featured in a double-page spread in the Herald on Sunday November 10.

3.29 Shane Ball participated in the Prime Minister's Scholarship Latin America selection committee on 16 October. A farewell morning tea was organized for 20 Master of Conflict and Terrorism students travelling to Colombia under the Prime Minister's Scholarship to Latin America, with attendance from the Colombian Consulate, 1 November.

3.30 360 International has been awarded funding for four of the eight group applications through the latest round of Prime Minister Scholarships totalling more than \$215,000.

4. HIGH QUALITY RESEARCH THAT BENEFITS SOCIETY

Indicators		Last Year	Current Year			
			To Date (1 November)		End of Year	
		Actual	Target	Actual	Target	Forecast
59&60	Total external research income earned (\$M)	284.0	229.0	246.1	279.3	296.5

Comments on the KPIs:

The total external research income remains above target and the forecast has been adjusted to reflect this.

4.1 The 2019 MBIE Data Science Programme results were announced on 21 October. The University was successful in being awarded one programme for \$10m, out of four funded for \$49m nationally.

4.2 The Marsden Fund results were announced on 5 November 2019. University of Auckland staff received 35 awards (from 76 preliminary proposals that progressed to full proposals) out of a national total of 125. The 35 awards granted to the University of Auckland amount to \$21.7m, representing 26% of the amount awarded nationally. This is slightly up on our 2018 results of 29 awards worth \$18m, 21% of the national total.

4.3 The University also received \$1M from the MBIE Catalyst Strategic Space Fund for two projects in small-satellite radar to monitor NZ's oceans and coasts, and space satellite mission design and control.

5. A SUSTAINABLE, AUTONOMOUS UNIVERSITY

Indicators		Last Year	Current Year			
			To Date (1 November)		End of Year	
		Actual	Target	Actual	Target	Forecast
75	Total revenue (\$M)	1,202.0	1,137.7	1,176.4	1,213.6	1,247.8
92	Revenue achieved as a % of budget	101.2%	100.0%	103.4%	100.0%	102.8%

Comments on the KPIs:

The forecast reflects the increase in international EFTS compared to budget as well as the continued shift to higher funded courses.

5.1 Carlaw Park Stage 3 business case has been approved. The new accommodation hall will add 907 beds and is scheduled to open in 2023.

5.2 Preparatory works enabling construction of a new recreation centre have begun and communications to staff and students were sent out in October, notifying them of upcoming changes. To date, The Quad Café and The Cellar have closed. On 7 November Shadows held a farewell event for alumni. Shadows is confirmed to be moving into The Cellar, which will open in February 2020 for Semester One. More retail closures are scheduled to take place over the coming weeks in preparation for construction works.

5.3 Goldie Estate has launched their first Sparkling Rosé. To celebrate, they hosted a launch event in partnership with M2 magazine, coinciding with winemaker Heinrich Storm's feature in the August issue of M2.

5.4 The Cloud Adoption initiative is to move IT services to Cloud providers such as Amazon. The project is progressing well with over 40% of the possible services successfully migrated. The teams are using the migration to the Cloud as an opportunity to identify servers and services that are no longer required and can be decommissioned. The team is also using this opportunity to improve how we configure the infrastructure supporting some of these services.

5.5 NeSI submitted feedback to MBIE's consultation on their draft Research Science and Innovation strategy early in November. This feedback incorporated consideration of NeSI's contribution to improving research infrastructure and services over its 8-year life to date.

5.6 B405 Engineering is in the final commissioning stages of the project with Practical Completion anticipated to be 20 November. Work is predominately complete except finishing detail in the two main atriums, some lab commissioning and finishing external works. Faculty equipment moves have started and all moves are on track with some Faculty research spaces to be occupied in November. Most groups start moving early December as planned. We expect to lodge for a Code Compliance Certificate early December in order for students and public to use the building next year.

5.7 Progress continues to be challenging on the Waiparuru Student Hall site at 35 Whitaker Place. The contractor is focused on the completion of the Podium Levels and Tower B (492 beds) by February 2020 with Tower A (294 beds) following as soon as possible thereafter.

5.8 Staff will move from Tamaki to Grafton Park West B507 as planned late November. Practical Completion is imminent with the Certificate of Public Use due to be issued during November, to enable clinics to open in their new location on 2 December.

5.9 Tamaki-based School of Biological Sciences activity was moved to the Thomas Building B110 (SBS) new Level 1 fit-out late October. The remainder of Level 1 will be occupied in January 2020. The contract for fitout of Level 4 of B110 was awarded mid-October with completion due June 2020 paving the way for the project to be functionally complete with all occupants in their new places by the end of August 2020. Of note is that the major asbestos decontamination activities were completed at the start of October. Several remaining small pockets of asbestos will be removed during the Level 4 fit-out works.

5.10 The RWC - Recreation & Wellness Centre Detailed Design work continues while a schedule of areas is reviewed. An approach to main contractor procurement is being planned in what is a challenging environment.

5.11 The RWC Enabling Works are progressing well and on programme. Coordination of works with occupants and users of Sector 300 is well advanced and ongoing. B312 Demolition is on track to commence 18 November 2019 as planned. Interim facilities works to the 70 Stanley Street gym commenced on 1 October 2019 and are progressing well with completion of building works targeted for late December 2019. The existing Recreation Centre gym will be closed from 08 January 2020 to allow for the moving of gym equipment. The new temporary gym is planned to be opened at the end of January 2020.

5.12 Preliminary Design for the relocation of FEDSW from Epsom to the City Campus is progressing with an initial Programme due to be established over the year-end. This will enable further stakeholder engagement activities and the commencement of the over-arching business case in early 2020.

5.13 Property Services has met with Faculty of Arts representatives to commence the Arts Laboratories design and briefing process with the aim of accelerating the works so it can be completed within the EDSW works timeframe.

5.14 Construction work for the CAI design programme has commenced and is progressing well.

5.15 The Business Process Automation (BPA) Project is standardising, improving and automating high-volume processes to improve service quality, reduce processing times and to reduce work effort. Building on recent success, more processes have been identified for automation in the Staff Service Centre, the Student support centres, Research Operations Centre and Finance.

The Travel process improvement initiative went live with phase 1 of the improved process late August 2019. The project health check for phase 1 been completed, and Phase 2 will commence with the automation of travel purchase orders earmarked for delivery Q1 2020. The automation team is working closely with the Finance leadership team to identify and automate transactional processes across finance operations. Invoicing, billing and Research Operations Centre processes are under consideration.

A proof of concept is also underway with the Risk Office to automate the Unusual Transaction Analysis testing scenarios and real time monitoring for Unusual Transactional Analysis. This will be progressed in Q1 2020.

The first Robotics Process Automation course for software engineering students in the Faculty of Engineering kicked off in July as part of the University Academic Alliance with the robotics software vendor UiPath. The interest in the course exceeded expectations with more than 20 students enrolling and working on industry projects from Downer and PWC. A meetup with our Software Partner UiPath is scheduled for 21 November at the Faculty of Engineering, where the students will present their Robotics Process Automation Solutions.

5.16 The South Auckland/Epsom Strategic Initiatives Programme has three major areas of focus:

1. Relocation of the Faculty of Education and Social Work (FESW), including the Epsom Marae, to the City Campus, and enabling all current Epsom-based teaching to be delivered from the City Campus.
2. Defining the University's presence in South Auckland, post 2019, and provisioning a new Campus to enable that presence once the University vacates its current premises on the Manukau Institute of Technology (MIT) campus.
3. Defining the University's future presence at Tai Tokerau, and preparing a brief for Property Services, that will enable that presence.

Property Services have captured FESW physical requirements and have confirmed the ability to accommodate the faculty on City Campus, as well as the actual spaces that they will occupy. Development of the programme of physical works required to ready the spaces for the faculty, is anticipated to be completed by the end of 2019, at which time it will be possible to confirm the timing of the move.

Work continues on scoping the aspects of the move that are not accommodation-related, and forming and progressing the relevant working groups to support these aspects.

A new South Auckland Campus has recently been secured at 6 Osterley Way, in central Manukau. The campus will enable the continuation of our current activities in South Auckland, as well as additional future activities in regard to an extended Foundation Programme. The provision of a student commons, so that the University's South Auckland-based students can have access to resources, study informally and collaborate, at times when they are not attending the City Campus, has also been included in the property brief. Physical works commenced recently, with the intention being to have the campus ready for the commencement of Semester 1, 2020 teaching. Contingency options are being investigated, should the physical works encounter any unforeseen issues.

Given the end-of-life condition of our current facility at Tai Tokerau, a range of options for how we maintain our presence at the site are being developed.

5.17 The University of Auckland Campaign For All Our Futures reached its completion on 31 October 2019, raising an extraordinary \$380,271,165 to fund research, innovation, and initiatives to support students. Publicly launched in September 2016 with a target of \$300m, it was New Zealand's most ambitious and successful fundraising campaign ever. A formal Gala Celebration incorporating the 2019 Chancellor's Dinner took place at Shed 10 on Thursday, November 21, with 620 guests attending. The key purpose was to thank major supporters and show the impact of their partnership and generosity, through addresses from the Chancellor, the Vice-Chancellor, a

featured academic, a featured student and videos focusing on philanthropic projects at the University. The grand total was announced by the Chair of the Campaign, Geoff Ricketts. In addition, an announcement was made about the largest-ever single gift to the University, \$16.5m from the Hugh Green Foundation to endow the Hugh Green Biobank and establish the Hugh Green Chair in Translational Neuroscience.

Following the gala event, announcement communications were sent to staff, alumni, donors and the media. A high impact communications campaign began with a 100-day countdown of impacts from the Campaign, such as funded chairs, research programmes and student scholarships. A series of news and feature stories are running through the NZ Herald, with interviews across other media channels. The spring issue of the Ingenio alumni magazine features the campaign success and is being mailed to approximately 130,000 alumni and friends, timed to follow closely behind the announcements.

The following new major gifts and pledges were received by ARD in September and October 2019:

- \$12.75m from the Hugh Green Foundation to endow the HGF Biobank and establish the HGF Chair in Translational Neuroscience;
- \$5m from Antony Morris for the Antony and Margaret Morris Chair in Cancer Research;
- \$2m from the estate of Barbara Dawn for Medical and Health Sciences;
- \$1.2m from Kershaw Investments for Dr Beate Schuler Science Research;
- \$1.2m from Southlodge Investments for Dr Beate Schuler Science Research;
- \$1.05m from an anonymous donor for the Bioengineering Breast Imaging Project;
- \$750k from Cure Kids for the Cure Kids Chair in Child Health Research;
- \$547.8k from Cancer Society Auckland Northland for support of the Auckland Cancer Society Research Centre;
- \$500k from the estate of John Richards for the John and Jill Richards Visiting Professorship at the Faculty of Medical and Health Sciences;
- \$500k from the Hugo Charitable Trust to support the HCT Bioengineering Fellowship and the HCT Liggins Institute Fellowship;
- \$300k from David Ross for the David and Dian Ross Undergraduate Scholarship for students undertaking a conjoint degree in Arts and another faculty;
- \$257k from Walter Linton for the Walter Linton Architecture Fellowship;
- \$250k from an anonymous donor to support the Centre for Science in Policy, Society and Diplomacy (SciPoDS);
- \$200k from the Tindall Foundation to support the Centre for Science in Policy, Society and Diplomacy (SciPoDS);
- \$198k from The Allan & Joyce Ballantyne Medical & Surgical Education and Research Trust for endometriosis research;
- \$105k from the BEA Trust for the BEAGA Medical Scholarship fund;
- \$100k from Jenny Gibbs for support of the Centre for Brain Research;
- \$100k from David Kidd to support the David Kidd Law School Mooting Competitions;
- \$100k from the Li Ka Shing (Canada) Foundation in matched funding for the David Kidd Law School Mooting Competitions;
- \$100k from Jasmax Ltd for the Jasmax Scholarship for Maori and Pacific students to study Architecture;
- \$100k from The Wallath Trust for scholarships for medical students;
- \$90k from the Hinrich Foundation for the Hinrich Foundation Global Trade Leader Scholarship;
- \$90k from the Li Ka Shing (Canada) Foundation in matched funding for the Hinrich Foundation Global Trade Leader Scholarship;
- \$75k from the Hauser-Raspe Foundation for the Hauser-Raspe Undergraduate Scholarship;
- \$66k from I Have a Dream Charitable Trust for education research;
- \$65k from the Department of Conservation for cetacean research;
- \$63k from the Hugo Charitable Trust for the Summer Learning Journey Project;

- \$52k from Tonkin & Taylor for the Tonkin & Taylor Masters Scholarship in Coastal Engineering;
- \$50k from Chew Liong Kim for the Chew Liong Kim and Tan Chee Chin Scholarship;
- \$50k from the Sir Thomas and Lady Duncan Trust for motor neurone disease research; and
- a generous donation from Kerry McMillan for general purposes at the Liggins Institute.

5.18 The Special Working Group on the response to and prevention of discrimination at the University of Auckland (SWG) has prepared a report on its work and achievements over the past five months. It covers a number of important issues for the University, including the development of a Code of Conduct, and the upcoming training for students and staff on how to prevent and respond to incidents of bullying, harassment, discrimination and harmful sexual behavior. These developments will significantly enhance the ability of the University to provide a safe, inclusive and equitable environment for all its members and we are grateful to all those who have contributed to this important process. To read more about the SWG and the report, visit the [webpage](#).

5.19 Addressing Bullying, Harassment and Discrimination - providing a safe, inclusive and equitable environment for our community is a priority for the University. To help staff understand better what constitutes bullying or harassment, and how to support a staff member or student to manage a complaint, a training programme has been developed. The online self-paced modules are available to all staff in Career Tools, and each module takes between 5 and 10 minutes to complete (so about one hour for all of them). The training provides explanations of what different concepts mean, what you can do if you experience or witness an incident, and what resources are available for support. Over the coming months and into 2020, we will be targeting priority groups of people leaders and key frontline staff to receive face to face workshops to further build our understanding, capability and response in this area. It is planned that the programme will also be available to students in 2020.

6. STRONG PARTNERSHIPS WITH KEY ORGANISATIONS AND COMMUNITIES

6.1 Event Services attended the Tourism New Zealand 2019 Business Events National Awards Dinner at the Auckland War Memorial Museum on 10 October. University of Auckland staff recognised included Dr Frederique Vanholsbeeck, who won the rights to host the Asia-Pacific Optical Sensors (APOS) Conference 2019, and Associate Professor Greg Anson, who won the rights to host the Progress in Motor Control Conference 2021. Both conferences will be held on campus and organised by Event Services.

6.2 The Campus Life Event Services team is supporting seven domestic and international conferences between November 2019 and January 2020, with the most significant events being the Sociological Association of Aotearoa New Zealand (SAANZ), Australian and New Zealand Society of the History of Medicine (ANZSHM), Art Association of Australia and New Zealand (AAANZ), EBMLive Auckland, and HACK Aotearoa.

6.3 The Media Production team provided support for the live streaming of the Auckland Mayoral debate (2 September) and an interview with Helen Clark at the Sustainable Development Goals (SDG) summit 2019.

6.4 Looking ahead into 2020, events and sponsorship planning is well underway. Our new partnership with Q Theatre starts in January with the sponsorship of the Summer @ Q festival, and the New Zealander of the Year Awards are being held in February. University Marketing is working to ensure all sponsorships are working well for the University.

6.5 The Deputy Vice-Chancellor (Research) attended the Association of Pacific Rim Universities Vice Presidents for Research Meeting from 28 to 30 October 2019 in Bangkok, Thailand.

6.6 The Deputy Vice-Chancellor (Research) participated in the Ideas to Life 2019 Conference organised by Auckland UniServices Limited in Hangzhou, China in November 2019.

7. TREATY OF WAITANGI/TE TIRITI O WAITANGI PARTNERSHIPS FOR MUTUAL BENEFIT

7.1 Progress on key deliverables for the Office of the Pro Vice-Chancellor Māori for October/November 2019:

- Annual Plan prepared with three key deliverables; i) te reo me onga tikanga, ii) whakawhanaungatanga, and iii) tukua iho.
- Participation in SLT Strategic Planning retreat including socialising the goals in curriculum design and evaluation, research, as per 1.
- Meeting with Engineering Executive regarding implementing a staff and student recruitment strategy for Engineering, which builds on their existing initiatives and does not stall with the appointment of a new Dean.
- Meeting with HR to develop a Māori staff recruitment strategy.
- Preliminary development of a new TCEF Māori Equity investment strategy with focus on Kura and Māori schools with high numbers of Māori students in Tai Tokerau and Tamaki
- Service Level Agreement with PVC Equity and PVC Pacific confirming how we will work together to achieve shared objectives/
- Evaluation of the Tuakana programme has a preliminary report which has been fed-back to the Tuakana network at their 21 November meeting.
- Te Reo Implementation Plan Steering Committee terms of reference, agenda, business cases, project leadership and digital app for te reo, prepared for 3 December inaugural meeting. Members of the Steering Committee are; Cynthia Kiro (Chair), John Morrow, Adrienne Cleland, Michael Steedman, Hemi Dale, and Andrew Phipps.
- Final Rūnanga meeting will be held 28 November for this year.
- Planning for the pōwhiri and orientation of the new Vice-Chancellor are underway with key stakeholders, briefing documents and reading material, te reo practice and advice (via zoom) scheduled with Dawn Freshwater.

8. A PUBLIC UNIVERSITY OF GLOBAL STANDING

8.1 Auckland Online launched 1 October 2019. Initial interest has been positive with over 500 lead enquiries generated in 5 weeks. Our focus now turns to conversion of this interest to build our application pipeline leading to enrolments. Both the Faculty of Arts and Education have completed their first wave of online course development (2/3 respectively). On-going programme discussions are in play with the Faculty of Business & Economics, the Faculty of Medical Health Sciences and the School of Psychology.

8.2 Professor Jenny Dixon and Deborah McAllister hosted the Universitas 21 Senior Leaders' Meeting on campus, 23-25 October 2019, with 42 senior leaders from the network attending. The meeting included a one-day senior leaders' forum on the topic of '*Working together to sustain quality higher education in times of global uncertainty*' which received excellent feedback from delegates. Prior to the Senior Leaders Meeting, Professor Jenny Dixon and Deborah McAllister hosted a number of meetings between the Universitas 21 secretariat and members of the University community, including faculty Deans, Associate Deans of Research and International, Deputy Vice-Chancellors and other staff members involved in network activities.

8.3 Professor Jenny Dixon and Deborah McAllister attended the Asia-Pacific Association of International Education (APAIE) Board of Directors meeting in Bangkok, Thailand, 24-25 November 2019. Following the meeting, Professor Dixon and Stephen Dee, Executive Director Australia SE Asia travelled to Kuala Lumpur and Singapore for development meetings with senior alumni.

8.4 The International Office again sponsored the QS India rankings summit, this year in Goa over three days, 20-22 October. Brett Berquist, Director International, as co-host spoke briefly at the opening ceremony and again on the last day on a panel regarding internationalisation strategy and approaches. Our keynote address was delivered by Distinguished Professor Peter Hunter, who highlighted the research work of the Auckland Bioengineering Institute. His talk was well received by all and generated significant discussion.

8.5 Our strategic partnership initiative with Penn State was progressed with a workshop of Penn State and University of Auckland researchers held on November 18 and 19. The two-day meeting was opened with a keynote address from Leon Grice, Chair of the NZ US Council. The purpose was to enable researchers from both universities to meet and collaborate in the development of research proposals. A research round funded by Penn State and the University will close early in 2020.

8.6 In October and November 2019, International Office staff were involved in recruitment and business development activity in the following countries: China, Indonesia, Singapore, India, Thailand, England, France, Denmark, Norway, Germany, Columbia and Brazil.

8.7 Brett Berquist and Lydie Faure Kilgannon, 360 International Manager, attended and presented at the Australian International Education Conference (AIEC) held in Perth. Bo Bonifacio, William Ho, Liam Gorrie, Deborah McAllister and Kirsten Brown also attended, 15 - 18 October.

8.8 Chandra Leenheer and Raewyn Tan, 360 International Advisers, attended the New Zealand Mobility Forum at the University of Waikato, 31 October - 1 November.

8.9 Lydie Faure Kilgannon remotely presented at the U21 Mobility Forum held at the University of California, Davis Campus, 6 November.

8.10 Brett Berquist, Director International, gave a presentation with staff from Talent Solutions and Auckland Tourism, Events and Economic Development, to the Chartered Accountants Australia & New Zealand Special Interest Group, 14 November.

8.11 The International Office hosted the following visits:

- Chinese Service Centre for Scholarly Exchange, China, 14 October
- Association of Commonwealth Universities, 18-19 October
- U21 Senior Leaders Meeting, 21-15 October
- Waseda University, 22 October
- Korea University, 22 October
- Education NZ Indian High School Counsellors Famil, 4 November
- UoA US Study Abroad Famil; 13 participants from 11 institutions, 6-8 November
- University of Southern California, USA, 11 November
- IDP Indian Agent Famil, 11 November
- Pennsylvania State University (Penn State), USA, 18-19 November
- Onshore Partner Day (participation by onshore agents and high school International Directors), 19 November
- University of Electronic Science and Technology of China (UESTC), 28 November

8.12 Agreements finalised and signed:

- Harbin Institute of Technology, Weihai, Study Abroad Agreement, signed 7/10/2019
- Lund University, Student Exchange Agreement Renewal, signed 10/10/2019
- University of Bath, Letter of Understanding Renewal, signed 21/10/2019
- Kalamazoo College, Study Abroad Agreement, signed 6/11/2019
- Pennsylvania State University, Memorandum of Understanding, 8/11/2019
- University of New South Wales, Student Exchange Agreement Renewal, 11/11/2019
- Stockholm University, Student Exchange Agreement Renewal, 11/11/2019

Stuart N. McCutcheon
Vice-Chancellor

Appendix 1

Auckland Bioengineering Institute

	Outlet	Link	Subject/Academic
31	Voxy.co.nz	Taking heart research to a new level	Andrew Taberner awarded a James Cook Fellowship to create a 'dyno' for the heart.
25	LiveNews.co.nz	Researchers investigate sideline concussion testing	There is currently no objective diagnostic test for sports related concussions (SRC).
18	National Business Review	Kiwi AI company sells its soul around the world	Auckland-based Soul Machines spun out from the ABI opened offices in London and Tokyo.
	National Business Review	Indian software giant looks for Kiwi footprint	The world's third-largest software services firm TCS working with Soul Machines
12	Listener	Sound thinking	Auckland lab is using technology to help deaf people experience music. Suranga Nanayakkara.
3	noted.co.nz	A promising screen-based eye test for kids	Technology by Jason Turuwhenua makes it easier to pick up problems with eyesight of children.
2	globaluniversityventuring opengovasia.com	StretchSense reaches out for new ownership Divers to communicate with underwater robot	Wearable sensor maker StretchSense, has been rescued out of administration. Chris Walker flew to Croatia to test a glove that can control an underwater robot.

Faculty of Arts

	Outlet	Link	Subject/Academic
4	Newstalk ZB (Auckland)	No link	Paul Taillon: a 'University of Auckland history lecturer' has joined the student protest.
5	Canvas- NZ Herald	Growing up can be hairy	Selina Tusitala Marsh: New graphic novel/memoir <i>Mophead</i> is mentioned.
9	Scoop, Voxy	Finalists for teaching award	Ngarino Ellis: mentioned as being a finalist
10	NZ Woman's Weekly	Meet the American lecturer who is continuing the legacy of Kiwi photographer Marti Friedlander	Sophia Powers: First person profile of the first recipient of Marti Friedlander Lectureship in Photographic History and Practice.
11	Stuff	Bank robber who threatened to burn a teller's face with acid successfully appeals sentence	PhD candidate in Sociology: A high court judge in Auckland cites the usefulness of an 'S27 cultural circumstances report' – "prepared by a Samoan PhD candidate
12	NZ Herald - Viva	Through the looking glass	Erin Griffey: on royal beauty secrets of queens in the Tudor and Stuart courts.
	Stuff, The Press	The week in good news: history and Harry, royals and reading	Auckland University Press and Paula Morris: mentions that AUP are translating 100 well known books into Māori, including Harry Potter and Paula Morris's book <i>Rangatira</i> .
13	Stuff	Learning to live with terminal cancer spawns delicious recipes	Hilary Chung: talks about how she has changed her diet as a result of having breast cancer.
	Stuff	Paula Morris and Steve Braunias focus on Short Fiction	Paula Morris: Notice of a writing event featuring Paula Morris
15	TV1 Breakfast	Breakfast Jennifer Curtin on Labour's slight drop in polls	Jennifer Curtin: interviewed about the latest political polls showing Labour had dropped;

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18	Macquarie Port News	Dr Stephanie Collins speaker at October Port Macquarie Philosophy Forum at Glasshouse	Stephanie Collins (Alumna): mentioned as receiving her BA (Hons) and Master of Public Policy from the University of Auckland.
	Science Media Centre	2019 research honours Aotearoa	Nga Pae o te Maramatanga, Selina Tusitala Marsh: Royal Society honours.
20	Sunday, National Radio	Selina Tusitala Marsh	Selina Tusitala Marsh: is interviewed about <i>Mophead</i> .
21	Newsroom	Turning ugly into transformational	Trevor Richards (Distinguished alumnus): Op ed about the early days of HART
26	Listener	My early curly hurly-burly	Selina Tusitala Marsh: review of her graphic memoir <i>Mophead</i> .
29	thisnzlife.co.nz	'Different is okay': Former poet laureate Selina Tusitala Marsh's new book Mophead is set to make a difference	Selina Tusitala Marsh: feature on Selina Tusitala Marsh, the end of her Poet Laureateship and her new book <i>Mophead</i> .
	Newstalk ZB	No link	Stephen Hoadley: death of ISIS leader Abu Bakr al-Baghdadi may be a little too late
	Radio New Zealand	Maori art historian Ngarino Ellis	Ngarino Ellis: talks about being New Zealand's only Māori art history lecturer.

Faculty of Business & Economics

	Outlet	Link	Subject/Academic
31	Daily Post, BoP Times.	NZ's female grads lead startup stats	New Zealand's universities produce more female founders of start-ups than other countries,
	New Zealand Herald	Businesses urged to find their 'inner Greta'	Visiting Academic Sir Jonathon Porritt was featured about his call to act on climate change
	Howick Pakuranga Times	Is KiwiSpend the answer in retirement?	Susan St John and Claire Dale comment on the drip-feed income scheme called KiwiSpend
30	Three, Magic Talk	No link	Bodo Lang on Epicurean Dairy Limited,
	stuff.co.nz	What will happen to the RWC themed snacks?	Bodo Lang on the issues with themed snacks following the All Black's loss against England.
	National Coverage	Clamp on exploitation	Research investigates the exploitation of migrant workers.
	New Zealand Herald	Embracing uncertainty all in a day's work for top CFOs	Professor Jayne Godfrey comments the role of a CFO, ahead of the Deloitte Top 200 Awards.
29	New Zealand Herald	NZ highest percentage of female grads	New Zealand's universities produce more female founders of start-ups than other countries,
	New Zealand Herald	What's happening in the Hawke's Bay business world?	Benjamin Fath Speker at Sprout Accelerator,.
	Hawke's Bay Today	Seminar for doing business in Vietnam	Benjamin Fath speakers at a one-day workshop in Napier focused on doing business in Vietnam.
26	ODT The Star	Boss keeps retail outlet trading with current trends	Alumnus and Smiths City CEO Roy Campbell is featured about his life and work.
25	stuff.co.nz	Former ANZ boss Hisco asks for privacy on 'well-earned break' after expenses scandal	Jilnaught Wong comments on the future work opportunities for David Hisco, after leaving ANZ with a damaged reputation following a review of his personal expenses.
	Good Returns	Will KiwiSavers be denied control of their savings?	The Retirement Policy and Research Centre has recommended the introduction of KiwiSpend, a new scheme that would provide a regular income in retirement to people over 65.
	acuitymag.com	A sense of adventure	Alumna Katya Danilova has been named the 2019 Young CA Regional Advocate, Hong Kong.

23	Wairarapa Midweek.	KiwiSpend - is there really a need?	Susan St John and Claire Dale's KiwiSpend scheme is discussed.
22	schoolnews.co.nz	Free workshops teach financial literacy to students	Thousands of young New Zealanders have been taught basic financial literacy because of Savy,
	95bFM	No link	Interview with Interim Retirement Commissioner Peter Cordtz,
	Good Returns	Retirement Commissioner: Consider KiwiSpend	Acting Retirement Commissioner Peter Cordtz is lending support to the idea of KiwiSpend - an idea was originally proposed by Susan St John and Claire Dale .
	Newshub	'Drip-feed' retirement scheme proposed to stop Kiwis outliving their savings 30 minutes ago	Susan St John and Claire Dale on a 'drip-feed' income scheme being proposed to ensure Kiwis don't outlive their retirement funds.
	New Zealand Herald	Proposal to pay yourself an income of up to \$12k a year in retirement	Susan St John and Claire Dale on a 'drip-feed' income scheme being proposed to ensure Kiwis don't outlive their retirement funds.
	NZH, Hawke's Bay Today.	Susan Watson: Can selfish corporates be regulated to change?	Susan Watson comments on the future direction of corporations.
	National coverage	'KiwiSpend' could eke out retirement income	KiwiSpend, from report for Commission for Financial Capability by Susan St John and Claire Dale
21	New Zealand Herald	Kiwis are turning to spy software to curb porn use	Gehan Gunasekara on issues with the use of surveillance software like Covenant Eyes
	New Zealand Herald, Voxy.	Deloitte Top 200: Finalists announced of	The University of Auckland Business School a sponsor of the Deloitte Top 200 Awards.
	New Zealand Herald,	Walkers losing the e-scooter battle	Claire Dale on how walkers are losing the e-scooter battle
20	SST, Sunday News, Stuff.	Testing times for fast food fixes	Dr Carlos Diaz Ruiz on the rise of subscription boxes in a time of 'convenience culture'.
19	National coverage	Leveraging fame into fortune	Bodo Lang comments on how being a celebrity is a big help in building up a personal brand.
18	Across NZ	Dial back the claims of celebrity	Robert MacCulloch's claim that Adrian Orr has national celebrity is discussed.
	New Zealand Herald	Giving new ventures a leg up	Is planned \$300m Venture Capital Fund the best way to offer a boost for start-ups? Steve Outtrim , warns against parochial and unrealistic thinking.
17	stuff.co.nz	Pension questions	Researchers at Retirement Policy and Research Centre have estimated the looming super bill would create an "explosive" rise in national debt
	autotalk.co.nz	Car wrecking software among Velocity finalists	Software to make the car wrecking industry more efficient is a finalist project among this year's Velocity \$100k Challenge.
16	opengovasia.com	Finalists of entrepreneurship programme vie for seed capital and incubation	Velocity \$100k Challenge finalists.
	autofile.co.nz	Velocity names challenge finalists	Improving the car-wrecking industry and an eco-friendly approach to filling up are among the latest ideas from student entrepreneurs.
17	Newsroom, Hoki Guardian	EV revision a reality check, not a back-down	Basil Sharp writes an opinion piece on the Government's Electric Vehicles pledge.
15	devdiscourse.com	Some of finalists' announced for Velocity Challenge	Velocity \$100k Challenge finalists.
	Remix Magazine	The sky's the limit; a shoe designer Nicole Rebstock	Alumna Nicole Rebstock is featured about her shoe business Rebstock.
	Interest.co.nz	Terry Baucher introduces the biggest OECD changes to international tax since the 1920s.	The interim retirement commissioner suggests a higher tax rate for the wealthy over 65s, an idea that Susan St John has been promoting for some time.
14	Proactive Investors Australia	9 Spokes strengthens financial and governance capabilities through director appointment	Experienced New Zealand senior banker Shelley Ruha (alumni) has been appointed as an independent non-executive director.

	NZ Herald, BoP Times	Glenn sets up \$100m finance fund	Sir Owen Glenn philanthropy includes a \$7.5m donation for the Business School.
12	Newshub, Three,	Government surplus should actually be a \$30 billion deficit - Sir Roger Douglas	Susan St John on the Government surplus saying it doesn't matter how big it is if it's not going to be used to help those struggling to make ends meet. "
	National coverage	My Food Bag, Hello Fresh: How much extra do you pay?	Bodo Lang and Mike Lee comment on the price of meal kits like My Food Bag and Hello Fresh.
11	The Spinoff, Interest.co.nz	As our population ages, is it time for a new tax on high-earning superannuitants?	Susan St John and Claire Dale - a special tax scale for those over 65 that could help claw back NZ Super from high-income earners.
10	werewolf	Gordon Campbell on betraying the Kurds, and the criticism of Adrian Orr	Robert MacCulloch's comments about Adrian Orr are discussed.
9	Voxy.co.nz	Finalists for Tertiary Teaching Excellence Awards	New Zealand's Tertiary Teaching Excellence Awards announced including Andrew Eberhard .
	futurefive.co.nz	UoA students have created a digital treasure hunt for Stress Less Week.	University of Auckland students have created a digital treasure hunt for Stress Less Week, designed to engage students in an interactive game and offer a fun outlet prior to exams.
	Newsroom.co.nz	Port can't move without getting this right	Tava Olsen firmly believes the Ports of Auckland should stay where it is for now.
	Across	Superannuation cost could be covered by higher taxes for wealthy	Top income earners aged over 65 could end up being taxed at a higher rate under a new proposal to help cut back the future cost of New Zealand Superannuation.
	Newstalk ZB, Newshub	'Taxing high earning superannuitants more has merit'	Interview with Susan St John re a proposal for a special tax scale for those aged over 65.
	NBR, Westport News	Tax wealthy baby boomers, report says	Veteran economist Susan St John is not giving up her campaign for a surtax on NZ Super,
	nzadviseronline.co.nz	Economist says increased bank capital will hurt the economy	. Robert MacCulloch , - the RBNZ governor's style is part of the problem.
	Gisborne Herald, NZ Herald	New parent visa category 'blatantly discriminatory'	Deborah Levy's 85-year-old mother left waiting after changes to the parent visa category.
	Across NZ	Reserve Bank governor 'too much of a celebrity'	A. Robert MacCulloch said new governor Adrian Orr was a significant change from previous governors of the central bank, and that could have a negative effect on business confidence.
7	Newstalk ZB	No link	Reserve Bank governor Adrian Orr has been criticised by Auckland University professor of macroeconomics Robert MacCulloch ,
	stuff.co.nz, RNA	Reserve Bank's 'Adrian Orr show' hurting economy:	Robert MacCulloch - new governor Adrian Orr was a significant change from previous governors
	ODT, Radio New Zealand.	Governor's approach sends shivers through banking	Robert MacCulloch , says Mr Orr's style is part of the problem. "
6	Magic Talk	No link	Gehan Gunasekara says better security system needs to be in place in Tu Ora Compass Health
4	erienewsnow.com, kake.com, Pittsburgh Post-Gazette, Ein News. thenumbers.marketplace.or	Infotools releases case study with UoA; provides model for community market research program	A global leader in market research analysis solutions, has released a new case study covering a business and academic partnership benefitting university market research students and community organizations.. It provided students with a real-life research project that benefited a local nonprofit organization, New Zealand Housing Foundation.
3	Radio NZ	Universities and climate change	Visiting Academic Sir Jonathon Porritt is interviewed ahead of his lecture.

1	National Business Review	NZ Tech missing a trick in Asia: Mitchell Pham	Alumnus Mitchell Pham , says the New Zealand's tech industry and the country's entire economy are being imperilled because they have failed, so far, to make a mark in emerging Asian markets.
	Transport Talk	FUEL CRISIS 'COULD HAVE BEEN FAR WORSE'	Basil Sharp – ruptured pipeline from Marsden Point Oil Refinery highlights importance of investing in, and maintaining, critical infrastructure”.

Faculty of Creative Arts and Industries (CAI)

	Outlet	Link	Subject/Academic
31	architecturenow.co.nz	PhD student reimagines urban life playfully	Alex Bonham PhD student elected to the board of Waitemata.
	Radio NZ - National	First song: Bridges	Student Rachel Hamilton and indie pop musician Bridges discusses how the School of Music helped her redefine her songwriting and musical style.
	The Denizen	Meet underground art scene you haven't heard about	Elam alumni , artists eschewing the 'institution' to cultivate an alternative art scene.
	homestolove.co.nz	New life for mid-century gem in Christchurch	Four mid-century enthusiasts resurrect original design by former SoAP staff, Allan Mitchener .
	Daily Post Bay of Plenty Times	NZ's female grads lead startup stats	New Zealand's universities produce more female founders of startups than other countries, including Elam alumni Phoebe Hayman .
30	Wairarapa Midweek	Pottery of ancient civilisations	Elam alumni Janet Green's ceramics emerge out of a deep and lasting love for the pottery of ancient civilisations.
29	Voxy.co.nz	Connecting through dance	Two students at the Dance Studies Programme awarded a Prime Minister's Scholarship.
	The Big Idea	Encounter 1	Michael Parekōwhai meets Congolese-Belgian musician and filmmaker Baloji.
	architecturenow.co.nz	Once more, with feeling	On the architecture of SoAP alumni, Robert Paterson .
25	Rotorua Weekender	Inspired by dance and kapa haka	Sophie Williams (Ngapuhi, Te Arawa), graduated with a Doctor of Philosophy (Dance Studies)
25	Taranaki Daily News	Smither painting fetches record price at auction	New record price for work by a living New Zealand artist; alumni Michael Smither's
24	Voxy.co.nz	Kiwi Music scholarships awarded	Four young performers-including alumni, Manase Latu , win scholarships
22	The Big Idea	Heather Straka ..another dissection	Trish Clark Gallery presents Heather Straka's third solo exhibition. (Elam alumni)
	The Big Idea	Deidre Brown's Inaugural Professorial Lecture	Deidre Brown's professorial inaugural lecture.
	kaiparalifestyle.co.nz	Artistry at the highest level	The 2019 Kaipara Art Awards judged by Carole Shephard .
20	Undertheradar.co.nz	Ballads To Belters	Jane Horder and alumni Gemma Lee perform.
19	New Zealand Herald	Meet New Zealand's most famous blind keyboardists	Steve Braunias meets two extraordinary blind musicians, including alumni Shaun Johnson
18	The Big Idea	Louisa Beatty, David Ed Cooper, Hollow pony	Exhibition including David Ed Cooper
	Devonport Flagstaff	Thinking outside the middle ground	Social impact through art a joint exhibition by Elam student Phoebe Meek and Katja Neef.
17	Voxy.co.nz	Campbell Patterson Fulbright-Wallace Arts Trust Award	This year's recipient of Fulbright-Wallace Arts Trust Award, Elam alumni, Campbell Patterson
	stuff.co.nz	The Detail: on Whenuapai	SoAP's Lee Beattie, suggests plans for development of Whenuapai are short-sighted
15	architecturenow.co.nz	Spring Series 2019	Elizabeth Aitken-Rose ; in series of talks on Urban Regeneration.
	Regional News	Modern myths	Modern myths Whariwharangi by Elam alumni, Roger Mortimer.

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14	Player.fm RNZ	How can we ensure our new houses are quality?	Bill McKay on what must happen when the RMA changes
	Radio NZ – National	No link	Bill McKay discusses the KiwiBuild
10	River City Press	New Tylee resident announced	Elam alumni Marie Shannon's project to display the Whanganui River through photographs
9	ArchitectureAU	Vitruvian Tunnel asks: 'Is charm underrated?'	Matt Liggins can do lots of things but he doesn't sit easily in the usual categories.
	heartofthecity.co.nz	Urban Art Village	Temporary art installations by students from the School of Architecture & Planning
	Blenheim Sun	Young artist launches first exhibition	Young artist and upcoming Elam student Nicholas Males first exhibition in his home town.
8	architecturenow.co.nz	Review: Vitruvian Tunnel	Matt Liggins doesn't sit easily in the usual categories.
7	Voxy.co.nz	Happy homecoming for DANZ's 2019 Maori Dance Residency	Dance Aotearoa New Zealand (DANZ), has selected Sophie Williams as the recipient of the 2019 Te Kanikani Whakamaau/Maori Dance Residency.
6	stuff.co.nz	Keith Price Trio	Keith Price is Canadian guitarist and composer moved to NZ to join the faculty at Music School.
	eventfinda.co.nz	The UoA Dance Studies Performance Series	End of year performance, at Mangere Arts Centre
	eventfinda.co.nz	Heritage Concert: With one Accord	The Accord ensemble is the Auckland Chamber Choir Ensemble,
	The Big Idea	Roger Mortimer - Karori	Elam alumni Roger Mortimer 's seventh solo exhibition in the gallery.
	WA Today	Peter Weiss: 'Fashion was never an end in itself to me'	A heavy wooden door opens onto a glassed alcove.
4	architecturenow.co.nz	Festival of Architecture 2019: Part II	Factories, Faith and Firewater Ponsonby tour, part of the Auckland Festival of Architecture.
	architecturenow.co.nz	FOA: Unit Y at	Mike Davis and KathyWaghorn ; part of the Making Ways exhibition
	Architecture NZ	Future context	Alumni Richard Naish ; on 20 years of the RTA practice.
	Architecture NZ	Exhibition	Exhibition Vitruvian Tunnel Matt Liggins can do lots of things

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Faculty of Engineering

	Outlet	Link	Subject/Academic
31	University of Auckland	Taking heart research to a new level	Andrew Taberner awarded James Cook Fellowship to develop a 'dyno'for the heart.
	contractormag.co.nz	Tag: University of Auckland	Student Katrina Browne graduated became the third generation of civil engineers in the family.
	Voxy.co.nz	Taking heart research to a new level	Andrew Taberner awarded a James Cook Fellowship
30	New Zealand Herald	SkyCity fire: Three lingering questions answered	George Clifton , on the Sky City Convention Centre.
29	insideconstruction.com.au	Researchers to engineer new soundproofing wall	To combat acoustic intrusonding.
	Hawke's Bay Today	Back pain leads to big gain	Student, scholarship winner and mechatronics creator Matthew Shepherd
24	World Socialist Web Site	New Zealand: Fire engulfs Convention Centre	Charles Clifton quoted on the fire at Auckland's SkyCity Convention Centre.
	TVNZ 1	No link	Charles Clifton , on the ICC structure, and the Fire and Emergency response.
	Asia Miner	UoA wins Australia's engineering competition	Australia's longest-running competition for engineering students.
24	Newstalk ZB news	No link	Interview with Charles Clifton , on the SkyCity Convention Centre's roof.
	New Zealand Herald	Inside inferno: Expert spells out what drove the flames	Decision to let fire at convention centre burn itself out is wise, says George Clifton .

	New Zealand Herald	Inside the convention centre fire: Expert explains	George Clifton , on decision to let the fire in the roof of Convention Centre burn itself out
23	The Spinoff	Bitumen, plywood and straw:	Alex Braae asks the experts, including George Clifton , on why the ICC roof was left to burn.
	Auckland Now	'Environmentally friendly' roof will be fully consumed by blaze, engineer says	George Clifton on the SkyCity Convention Centre explains how the roof at the ICC will burn out.
21	Magic Talk	No link	Eva Hakansson , world's fastest woman, looks to take on petrol podium finishers next month.
	Newshub, Three	Eva Hakanson; electric motorcycle	Eva Hakansson on a mission to show you can be fast while being clean and green
18	Bob Dey Property Report	University researchers respond to sound insulation	George Dodd and Andrew Hall awarded \$991,000 to create a new kind of partition material.
17	devdiscourse.com	Kiwis researchers develop new type of wall	George Dodd and Andrew Hall awarded \$991,000 to create a new kind of partition material.
	Wairoa Star	Scholarships available for engineering students	Deadline for Wairoa engineering students for tertiary engineering scholarship.
16	Player.fm Nine to Noon	Growing bio-materials for eye surgery	Laura Domigan - working closely with ophthalmic surgeons to help grow corneal tissue.
	opengovasia.com	Personal rehab and recovery through virtual therapy	Andrew McDaird , using Virtual therapy that combines data techniques with wearable robotics and machine learning.
	AZoOptics	Examining Optical Fibers in Microscale Imaging.:	UoA alumni George Gordon , on finding out more about optical fibers in microscale imaging.
15	schoolnews.co.nz	Juggling innovative ways to help students learn	Peter Bier's unorthodox teaching methods of juggling and riding a unicycle while delivering lectures.
	Radio NZ – National	No link	Charles Clifton says construction flaws revealed by scanning building need more investigation.
12	Whanganui Chronicle, Manawatu Guardian	Parapara's shaky future	Comment from Michael Pender , on the future of the Parapara Rd on State Highway 4.
11	Campus Morning Mail	Appointments, achievements	Nic Smith appointed new provost of QUT, commencing March.
9	Voxy.co.nz	Tertiary Teaching Excellence Awards	Tertiary Teaching Excellence Awards for 2019 have been announced today: Peter Bier
	University of Auckland	Juggling innovative ways to help students learn	Peter Bier's unorthodox teaching methods involved juggling and riding a unicycle while delivering lectures
	futurefive.co.nz	Students digital treasure hunt for Stress Less Week.	On Shwoop, the startup founded by University of Auckland students.
8	engineeringnz.org	Leading questions with Arthur Amputch	Arthur Amputch , Alumni - Technical Director –at Riley Consultants Ltd.
7	CIO New Zealand	'I loved tech way before it was cool'	Former staffer Michelle Dickenson talk about her non-traditional journeys into ICT.
	The Dominion Post	A call for courage in the face of disaster	Sandeeka Mannakkara on how Wellington needs to prepare for Climate Change.
3	The Press	Kiwi recognised in Google Doodle	NZ scientist and seismic engineer, alumni, Dr Bill Robinson recognised on his 81st birthday.
2	stuff.co.nz	Google Doodle recognises Bill Robinson	FoE alumni, Dr Bill Robinson , recognised with the search giant's Google Doodle.

1	Next	Meet our 30 WOMEN OF THE YEAR	Making a difference in the world is the number one goal of these incredibly inspiring achievers
	Kia Ora (Air NZ)	State of play	Alumni Maru Nihoniho had a passion for spaces. Now she has a games development studio.
	NZ Engineering News	NOW THERE ARE FIVE, CIVIL ENGINEERS IN THE FAMILY	Katrina Browne , the third generation of civil engineers in the family to graduate

Faculty of Education & Social Work

	Outlet	Link	Subject/Academic
3	Newsroom	The truth about girls	Toni Bruce: on calling women in sport "girls".
10	Indian Newslink, Education Central	New Programme to lift low decile students to Varsity	Graeme Aitken: former Dean, is involved in the presentation of the Buchanan Charitable Foundation gift for students of STEM at four low decile schools.
12	Dominion Post Weekend, Stuff	Schools disadvantaged by taking students with disabilities - principal	Missy Morton: is quoted in an article on specialist support for children at school and its costs and challenges.
16	Magic Talk	No link	Toni Bruce: On Kiwis' feelings about the Rugby World Cup based on her data.
21	Kake.com; erienewsnow.com; wrctv.com; nbc-2.com; kmaj.com; wfsb.com;	New Zealand: The 'small country at the bottom of the world' that keeps on rising to the top	Toni Bruce: on New Zealand's sporting prowess.
22	Voxy.co.nz	Rugby World Cup fever on slow burn - University of Auckland survey	Toni Bruce: On Kiwis' feelings about the Rugby World Cup based on her data.
	CNN	New Zealand: the small country at the bottom of the world that keeps on rising to the top	Toni Bruce: quoted in large feature on why NZ is so successful at sport; both size and geography have played a part, she believes.
	Radio New Zealand	Changing viewing habits could be leading to less interest in RWC	Toni Bruce: says New Zealanders could be feeling less engaged with the Rugby World Cup because the days of sitting around a television together to watch the tournament are long gone.
	National coverage	New Zealand Rugby World Cup World asks what makes NZ so good?	Toni Bruce: is quoted in a CNN 2200-word feature on how such a little country "at the bottom of the world" has produced such successful sportspeople.
26	The Most FM	The Saturday Morning Sports Show	Toni Bruce: More on the Rugby World Cup, national identity, views on winning and losing
28	NZ Herald, Magic Talk	Kiwi reaction: It hurts, but we'll cope	Toni Bruce: believes NZ's mourning over losing the Rugby World Cup will be short-lived:
	Newstalk ZB (Auckland)	No link	Peter O'Connor: is interviewed with Justin Brown about his trip to LA to do the Skid Row Project.
	Newsroom	Finding hope on Skid Row	Peter O'Connor: leading a creative initiative in Los Angeles, the Skid Row Project,
29	National coverage	The New Zealand Rugby public is showing signs of maturity - finally	Toni Bruce: is quoted as part of a story about New Zealanders' notably more mature reaction to losing the Rugby World Cup than on previous occasions.

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Faculty of Law

	Outlet	Link	Subject/Academic
31	lawsociety.org.nz	Determination rewards lawyer who rejected rejection	Sick of getting job rejections in London, Natalie Coates took her legal talents - and two first class honours degrees - to Harvard University, where she secured her LLM.
	Dominion Post, The Press, Waikato Times.	150 and no sign of flagging	Bill Hodge comments on freedom of expression under the Bill of Rights Act and the burning of flags.
30	TVNZ 1	No link	University of Auckland law student Alejandra Caceres discusses the escalating violence in Chile's Santiago amid political tensions.
26	The Guardian, MSN New Zealand	Questions raised over Scott Morrison's declaration he is not a New Zealand citizen	Anna Hood comments on Scott Morrison's declaration that he was not a New Zealand citizen, saying it was 'problematic'.
25	Daily Telegraph, Morning Bulletin	National disgrace: Cruel elder abuse secrets must end.	Ron Paterson is mentioned about his report, in a news item about elder abuse.
	lawsociety.org.nz, Voxy.co.nz	FairWay Resolution announce 2019 scholarship winner	Postgraduate student Nurit Zubery has won FairWay Resolution's 2019 Anne Scragg Scholarship for her article 'Perceptions of Gender Power in Family Dispute'.
	Stuff.co.nz	Former ANZ boss Hisco asks for privacy on 'well-earned break' after expenses scandal	Bill Hodge is referenced about David Hisco. He said he was unlikely to return to the bank in any capacity. But he could still make a contribution in another role, perhaps a not-for-profit.
	TVNZ 1	No link	Rohan Havelock on how insurers may refuse to pay out on the damage caused by Sky City blaze,
	NZ Insurance Bus Mag, Gisborne Herald, NZ Herald, Newstalk ZB	Expert warns that insurer may refuse to pay out on SkyCity fire	Rohan Havelock , said lead contractor Fletcher Building, a subcontractor, and even an individual employee of the subcontractor could face issues with insurance if found to be reckless.
23	New Zealand Herald, nzherald.co.nz	Monied interests cloud NZ politics	Timothy Kuhner Op ed - how NZ is in danger of following the US down path of greater inequality and plutocratic governance due to the lobbying industry being almost entirely unregulated.
22	Magic Talk	No link	Mark Henaghan Landmark Court ruling on meth makes sense if NZ wants to fight drug addiction.
	Three	No link	Mark Henaghan addicted lowly meth dealers shouldn't be penalised the the as top tier dealers.
	Magic Talk, Three	No link	Mark Henaghan attacks on a police station and an officer's private property were unacceptable.
19	indiannewslink.co.nz	Shocking revelations of family violence	Law student Harpreet Kaur speaker at the Women's Forum of the NZ Indian Central Association.
16	New Zealand Herald	Man dies after struggle over van	Bill Hodge police need to determine the cause of the man's death before deciding next step.
15	Otago Daily Times	A time of index cards	Mark Henaghan features in a news item about Otago Law School
9	NZ Herald, Gisborne Herald, Otago Daily Times	Questions about charges	Bill Hodge comments on the death of a young woman at an overcrowded Dunedin party, saying the Police will be considering whether the organisers could be liable for criminal nuisance.
5	NZ Herald, Northern Advocate	Young candidates urge Northland youth to make their voices heard	Alumnus Rawhiti Erstich-Coles is featured about standing for local body elections.

	Dominion Post Weekend, Weekend Press, Stuff.co.nz	University holds sit-in over racist material	Members of the Pacific Islands Law Students' Association took part in sit-in protest at the ClockTower over refusal to remove white supremacist material from campus.
2	Otago Daily Times	Man cleared of sex charges awarded \$130k	Mark Henaghan on the case of Dunedin man cleared of sex charges who was awarded \$130,000 following four years of hell, saying costs decisions, particularly for such a large sum, were rare.

Liggins Institute

	Outlet	Link	Subject/Academic
	North & South	WHO PAYS THE PIPER?	Sir Peter Gluckman and Britain's Professor Mark Hanson book, Ingenious, on the challenges and consequences of our success.
29	Newstalk ZB, 3pm News	No link	Yvonne Anderson: Whānau Pakari, assisting children manage obesity.
	Newstalk ZB, Kerre McIvor	Interview	Interview with Yvonne Anderson , who has been awarded a L'Oréal UNESCO For Women in Science for Women and Science 2019 Fellowship for her programme Whānau Pakari.
26	National coverage	Women of Influence supreme winner Jane Harding	Profile of Jane Harding , Women of Influence Supreme winner.
	Taranaki Daily News, Stuff	Helping kids love healthy food	Feature about Whānau Pakari with Yvonne Anderson .
25	morefm.co.nz	Older sisters more likely to become overweight	Rehash of 2015 study led by Wayne Cutfield .
	Newshub	Prof Jane Harding 2019 Supreme Woman of Influence	Jane Harding named the 2019 Supreme Woman of Influence, beating 371 other nominees.
24	National Coverage	2019 Women of Influence Supreme winner medical pioneer Jane Harding	Celebrated medical professor Jane Harding was named the supreme winner at the 2019 Women of Influence Awards.
	TVNZ 1 – Seven Sharp, tvnz.co.nz	Interview	The paediatrician behind Whanau Pakari, Yvonne Anderson , has won the L'Oréal for Women and Science Fellowship.
23	Morning Report, 9- Noon	Sweet success. Baby health pioneer, Jane Harding	Interview with Jane Harding about her research.
10	Nationwide coverage	Award for scientist	Jane Harding was awarded the Rutherford Medal by the Royal Society Te Apārangi.
11	farmersweekly.co.nz, Farmers Weekly	Wagyu study stirs up academics	David Cameron-Smith is quoted in a story about the CLIMB study that compared Wagyu, standard beef and soy protein.
4	stuff.co.nz	When free speech on campus goes too far	Sir Peter Gluckman is mentioned as one of the signatories of an open letter.
	Weekend Sun, Foodprocessing.com.au	Men's heart health unaffected by eating beef	Amber Milan is quoted in a story about the CLIMB study that compared Wagyu, standard beef and soy protein.
2	The Spinoff	250 University of Auckland staff sign open letter	Sir Peter Gluckman is mentioned as one of the signatories of an open letter.

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Faculty of Medical and Health Sciences

Media coverage: Highlights and analysis

- FMHS, its researchers and their work were mentioned in **363+** media items this month.
- About 16 were about the measles outbreak, which reached Samoa, and featured comments by **Helen Petousis-Harris** (who gave interviews on [The AM Show](#), [TVNZ Breakfast](#), [RNZ](#), [Newsroom](#) and elsewhere), **Nikki Turner** and **Emma Best**.
- October was a bumper month for awards and funding, with Matire Harwood and Ian Reid and team receiving major awards from the Health Research Council and Royal Society Te Apārangī. HRC Career Development grants were also announced. **Matire Harwood** was interviewed by **Kim Hill** on [RNZ](#) and Dale Husband on Radio Waatea and profiled in New Zealand Doctor. Ian Reid and his team were the subject of a [feature in Stuff](#), republished in its newspapers.
- Other topics included: child obesity, following a Unicef report that ranked NZ second worst in the OECD, with comment by **Boyd Swinburn** and a [panel on RNZ](#), moderated by Kim Hill, on our disordered food system featuring **Matire Harwood** and **Sally Mackay**. **Ngaire Kerse** commented in an NZ Herald feature about [ageing well](#); **Mark Elwood** addressed health concerns around [5G](#); **David Welch** commented on headphones and hearing in the young on NewstalkZB; Nuala Helsby commented in [Spinoff](#) story about DNA test kits.
- **Rod Jackson** and **Andrea Braakhuis** critiqued an international study that found no health issues with current levels of red meat consumption, and their comments were widely picked up in NZ and overseas media, including [Sydney Morning Herald](#), The Age, Brisbane Times, WA Today, Stuff, Newshub, RNZ, NewstalkZB, [The Spinoff](#).
- A study about health costs of e-scooter injuries, led by **Colleen Bergin**, was somewhat overtaken by the Sky City Convention Centre fire, but was still picked up by [Stuff](#), RNZ, Otago Daily Times and NZ Insurance Business magazine, and a follow-up comment piece ran in [Newsroom](#).
- A study by **Bridget Kool** on alcohol-related presentations in ED was widely covered in NZ, with an [extended interview on TVNZ Breakfast](#), and coverage in nzherald.co.nz, stuff.co.nz, RNZ and NewstalkZB.
- **Jiwon Hong** gave an [interview on 95bfm](#) about her hunt for drugs to treat acute pancreatitis; **Natalie Walker** gave an [interview on RNZ Afternoons](#) with Jesse Mulligan on vaping.
- **Peter Adams** commented in a story on gaming addiction that ran in The Dominion Post and three other Stuff newspapers; **Sarah Gerritsen** commented in a [Stuff](#) story about school lunches; **Kathryn Bradbury** and **Alistair Woodward** commented in an NZ Herald feature about veganism
- A story about toothbrush hygiene quoting **Siouxie Wiles** ran in [Stuff](#) and was picked up by the Daily Mail Australia, MSN India.
- A study about shortcomings in medical education about nutrition, and a follow-up [Newsroom](#) opinion piece by the UoA author **Jennifer Crowley**, gained wide international coverage (at least 40 articles) including the UK, the US, Canada, India and Australia.

University-generated stories

	Title/topic	Academic	External pickup
1	Neuroscientist Cathy Stinear: Professor revolutionising stroke rehabilitaiton	Cathy Stinear	Source: UniNews
3	Side-sleeping in late pregnancy best for baby's growth	Ngairie Anderson, Leslie McCowan	New York Times, Nzherald.co.nz , New Zealand Herald, 1 News, tvnz.co.nz , Gisborne Herald, Bay of Plenty Times, 12 sites mainly in Asia and US including physiciansbriefing.com and theasianparent.com.
4	Giving us heart	Helen Eyles, Steve Waqanivalagi, Jacelyn Loh	Rnz.co.nz , Otago Daily Times
10	"We're not invisible, we're not senile" – short film	Merryn Gott (with Shuchi Kothari, Serena Pearson from Arts)	RNZ Nine to Noon interview , Ashburton Courier
16	PM previews cancer research	Bill Denny, Michael Hay, John Fraser, Ben Dickson, Lydia Liew	Newshub.co.nz
17	Study leads to global rethink on how to prevent fractures in older people	Ian Reid, Anne Horne	Stuff.co.nz , Waikato Times, The Dominion Post, The Press, Marlborough Express, Nelson Mail, Timaru Herald, scimex.org, nzherald.co.nz, Rotorua Daily Post, nzdoctor.co.nz, healthcentral.nz
	Ngāpuhi doctor honoured for advancing Māori health	Matire Harwood	RNZ Saturday Morning with Kim Hill , Nzdoctor.co.nz , waateanews.com , healthcentral.nz , nzherald.co.nz
22	Injury cost more than 10 times higher than scooter licensing fee	Colleen Bergin	Stuff.co.nz , RNZ The Panel , NewstalkZB Mike Hosking, Otago Daily Times, NZDoctor.co.nz, nzherald.co.nz , scimex.org
25	New Zealanders need better access to magnetic depression therapy	Nicholas Hoeh	RNZ Saturday with Kim Hill , nzherald.co.nz , scimex.org, firstworldmedtech.com
31	Curbing sugar intake needs to start at top of the food chain	Gerhard Sundborn, Simon Thornley	Newshub.co.nz, foodprocessing.com.au
	Why are Pacific patients not getting much-needed bariatric surgery?	Tamasin Thornley	The AM Show (Peter Shepherd)

University-generated opinion pieces

	Link	Academic	Placement
1	Q&A: Does NZ have a place for e-cigarettes?	Natalie Walker, Chris Bullen, George Laking	Newsroom
3	NZ needs to join the rest of the world and ban prescription medicine ads	David Menkes	Newsroom
11	Who should we trust about 5G?	Mark Elwood	Newsroom
15	An area where we can't neglect nutrition	Jennifer Crowley	Newsroom
16	Why the 'love science' behind MAFS is totally bogus	Holly Dixon	The Spinoff
18	Government shouldn't sit on \$7.5b surplus while families need help	Innes Asher	Stuff
29	\$1m scooter bill in need of serious fix	Colleen Bergin	Newsroom

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Faculty of Science

	Outlet	Link	Subject/Academic
30	noted.co.nz	Future of New Zealand's most successful cancer drug discovery lab questioned	Rod Dunbar discusses retirement of three of Auckland's most distinguished cancer researchers
	Whangarei Leader	Fish fed plastic for science	Veronica Rotman feeding plastics to snapper re the effect of microplastics on fish
	New Zealand Herald	The Art Keepers	University of Auckland spectrometry used to analyse paintings being restored at Art Gallery
29	nzgeo.com	The song of the rifleman	Kristal Cain - her work in bioacoustics and the unique sound of the rifleman
	nzgeo.com	The price of fish	Nick Shears discusses the disappearance of crayfish from the Hauraki Gulf
	jetmag.co.nz	Is social media really hurting your mental health?	Sam Stronge's - social media might not be as bad for our mental health as we thought
28	New Zealand Herald	Why aren't Kiwis affected by social media?	Sam Stronge's social media might not be as bad for our mental health as we thought
	Vanuatu Daily Post	Vanuatuan Vice-Chair of PI Climate Services Panel	Newly-appointed climate official completed a Masters degree in science at UoA
	Waiheke Weekender	The art and science of winemaking combined	Neill Culley and winemaker Heinrich Storm discuss their work at the Goldie vineyard,
	Waiheke Weekender	From our archives: Wine pioneers who successfully walked 'the razor's edge'	Neill Culley and winemaker Heinrich Storm discuss their work at the Goldie vineyard, home of the University's wine science programme
	Gulf News	Students record underwater soundscape	Tim Haggitt teaches about the role of sound in Auckland's marine environment
23	Radio NZ - National	No link	Shaun Hendy discusses his new book #NoFly: Walking the talk on climate change
	NZ Doctor Online	Kiwi researchers make TB discovery	Ivan Leung and Ghader Bashiri have discovered how the TB virus can feed itself while it is dormant, sometimes for years
	The Westport News	Snapper snack on microplastics	Veronica Rotman is feeding plastics to snapper to establish baseline data about the effect of microplastics on fish
	The Dominion Post	More flights baffle experts	Shaun Hendy discusses Wellington Airport's plan for 25 per cent more flights by 2040
	BoP Times, ODT	Fish fed broken-down plastics	Veronica Rotman is feeding plastics to snapper
22	New Zealand Herald	Fish being fed plastics in NZ pollution study	Veronica Rotman is feeding plastics to snapper
	NIWA	Fish snack on microplastics	Veronica Rotman is feeding plastics to snapper to establish baseline data about the effect of microplastics on fish
	sciencemediacentre.co.nz	New gene editing technology – Expert Reaction	Hilary Sheppard discusses the ethics and potential impact of gene editing technology
	newsroom.co.nz	Scientist muzzled over oyster parasite	Shaun Hendy on a government agency putting a scientist off-limits after the re-discovery of an oyster parasite
21	Radio New Zealand	Social media has little impact on mental wellbeing	Sam Stronge's social media might not be as bad for our mental health as we thought
	rotoruanow.co.nz	Social media may not be as bad as we thought	Sam Stronge's social media might not be as bad for our mental health as we thought
	Local Matters	Preschool gala looks at Leigh under the sea	Marine Discovery Centre at Leigh hosts preschool gala
	stuff.co.nz	Social media has little to do with mental wellbeing, latest study finds	Sam Stronge's new research reveals social media might not be as bad for our mental health as we thought

	Radio New Zealand (news)	Social media makes only a small difference to mental health	Sam Stronge's new research reveals social media might not be as bad for our mental health as we thought
	NZ Herald, Greymouth Star, Gisborne Herald	Surprise findings: Is social media really hurting your mental health?	Sam Stronge's new research reveals social media might not be as bad for our mental health as we thought
	The Dominion Post	Councillor rouses sleeper train debate	Shaun Hendy says he supports the idea of an overnight train between Auckland and Wellington to reduce flights
	Dominion Post	Bring back sleeper train to Auckland, says councillor Thomas Nash	
	stuff.co.nz	Extreme weather linked to greater public trust in science, survey shows	
	Sunday News, SST	Wild weather boosts trust in scientists	
19	Listener	WHAT LIES BENEATH	Sally Poppitt says ectopic fat has become the focus of new research on type 2 diabetes
	National Business Review	Laser technology, entrepreneurship win 'sperm lady' science medal	Cather Simpson wins the prestigious Pickering Medal this year
17	Radio New Zealand	2019 Research Honours - babies, sugar & Maori science	Cather Simpson wins the prestigious Pickering Medal this year
	NZ Herald	Top honours for scientists	Cather Simpson and Jadranka Sedjic-Travas win medals at this year's Royal Society dinner
	Newsroom	What we can learn from measuring the internet	Aniket Mahanti internet measuring and the massive popularity of video streaming sites
	The Spinoff	A call to arms on NZers' abuse of the ocean	Mary Sewell - Kiwis have to avoid white meat if they are serious in protecting marine environment
16	PhysOrg.com	Wily tuberculosis bacteria can vary its diet to infect you longer	Ivan Leung and Ghader Bashiri have discovered how the TB virus can feed itself while it is dormant, sometimes for years
14	National Coverage	Not enough known about Kiwi seaweeds	Wendy Nelson is first author on major report to government on NZ seaweeds
13	Sunday Star Times	THE MIND readers	Paul Corballis discusses brain fingerprinting and its potential to revolutionise the way police investigate crimes in New Zealand and cut the chances of miscarriages of justice
12	Stuff, Dom Post, Press	The complicated issue of hate	Former University academic James Flynn tackles the issue of free speech
11	WEB The Country - NZ	Comment: Time to modernise our Biotech laws	National List MP and alumnus Dr Parmjeet Parmar on biotechnology,
	Cook Islands News	The science of beauty	Marine science student Terito Story is named Miss Cook Islands New Zealand for 2019
10	Independent UK	Whale karaoke	Rochelle Constantine humpback whale song can be linked to their home breeding grounds
	Radio NZ	NZ has two years to get AI right	Michael Witbrock discusses AI on Nine to Noon
9	The Dominion Post, Press	Blow to academic free speech	Vinayak Dev is one of six NZ academics to urge the Government and public to think hard about hate speech laws after the rejection of an Otago professor's book
7	stuff.co.nz, Dom Post, Press	How to cope when you've given up air travel but still need to see people	Shaun Hendy grounded himself entirely in 2018, deciding to take a year off flying to reduce his carbon emissions, he discusses his latest book
5	Nelson Mail	Dusky dolphin dies after stranding	Autopsy on dead dusky dolphin will be done at the University of Auckland
	Southland Times	Burnouts: an expression of grief?	Niki Harre discusses tensions over cars doing burnouts in a cemetery to honour a dead friend

4	Waatea News.com	Marae visits help lift clouds of dementia	Margaret Dudley cultural identity is a key consideration for the management and treatment of Maori with dementia
	newsroom.co.nz	Success: The double-edged sword for minorities	Bilal Nasier says when refugees succeed, it propagates the underlying sentiment that they must meet a series of criteria before being granted acceptance by mainstream NZ
3	stuff.co.nz	Teen boys battle 'distressing' thoughts of hurting girls after watching violent pornography	Nicola Gavey and Jade Le Grice are panellists at a forum to discuss teenage boys thoughts about hurting girls and kids after viewing aggressive porn
	newsroom.co.nz	Dugong tears and dusty DNA	Shane Lavery and Stephanie Plon have done research showing Madagascar dugong may be in a lot more trouble than previously thought
2	Newstalk ZB (Wellington)	No link	Professor Richard Easter is among the 400 staff who signed an open letter saying the University of Auckland is no place for racism and white supremacy
1	newsroom.co.nz, Greymouth Star	NZ scientists' carbon footprint dilemma	John Hosking challenges for scientists of reducing the number of international flights they take each year

Chair Approved but not confirmed by the Committee

Audit and Risk Committee MINUTES | PART A

22 November 2019

Meeting Room 105-210, ClockTower

08.00am to 11.00am



Present: Jan Dawson (Chair), Andrew Ferrier, Rachael Newsome, and Scott St John			
In Attendance: Professor Stuart McCutcheon, Adrienne Cleland, Peter Gudsell, Rachelle Miller, Anthony Steele, Paul Nickels, Jacqui Metcalf, Angus Clark, Stephen Whiteside, Jason Mangan, James Harper and Sharmaine Naidoo			
1. Apologies	Cecilia Tarrant was noted as an apology.		
2. Disclosures of Interest	Jan Dawson advised of an AIG conflict of interest with regards to Part B – Item 11.0: Insurance Renewal Report.		
3. Minutes of Audit and Risk Committee of 2 October 2019	<table border="1" style="width: 100%;"> <tr> <td style="width: 60%;"> <p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p> </td> <td style="width: 40%;"> <p>RESOLVED (Chair Scott St John) that the Minutes, Part A, of the Audit and Risk Committee held on 2 October 2019 be taken as read and confirmed.</p> </td> </tr> </table>	<p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p>	<p>RESOLVED (Chair Scott St John) that the Minutes, Part A, of the Audit and Risk Committee held on 2 October 2019 be taken as read and confirmed.</p>
<p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p>	<p>RESOLVED (Chair Scott St John) that the Minutes, Part A, of the Audit and Risk Committee held on 2 October 2019 be taken as read and confirmed.</p>		
4. Other Matters for Decision or Noting	No matters noted.		
5. Leave of Absence	No leave of absence was requested for the next meeting.		
6. Public Exclusions	<table border="1" style="width: 100%;"> <tr> <td style="width: 60%;"> <p>The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:</p> <p>General subject of each matter to be considered:</p> <p>Item No 7.1: Audit and Risk Committee Meeting 2 October 2019, Minutes Part B</p> <p>Item No 7.2: Audit and Risk Committee Meeting 2 October 2019, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Combined Assurance Report</p> <p>Item No 9.0: Health and Safety Update</p> </td> <td style="width: 40%;"> <p>RESOLVED (Chair Scott St John) that the public be excluded from Part B of this meeting AND THAT Professor McCutcheon, Mrs Cleland, Mr Gudsell, Mrs Miller, Mr Steele, Mr Nickels,, Mr Whiteside, Mr Mangan, Mr Harper, Mr Clark, and Mrs Metcalf be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of the University of Auckland for which those persons are responsible.</p> </td> </tr> </table>	<p>The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:</p> <p>General subject of each matter to be considered:</p> <p>Item No 7.1: Audit and Risk Committee Meeting 2 October 2019, Minutes Part B</p> <p>Item No 7.2: Audit and Risk Committee Meeting 2 October 2019, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Combined Assurance Report</p> <p>Item No 9.0: Health and Safety Update</p>	<p>RESOLVED (Chair Scott St John) that the public be excluded from Part B of this meeting AND THAT Professor McCutcheon, Mrs Cleland, Mr Gudsell, Mrs Miller, Mr Steele, Mr Nickels,, Mr Whiteside, Mr Mangan, Mr Harper, Mr Clark, and Mrs Metcalf be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of the University of Auckland for which those persons are responsible.</p>
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8.1

Chair Approved but not confirmed by the Committee

	<p>Item No 10.0: Cyber Security Programme Update Item No 11.0: Insurance Renewal Report Item No 12.0: Internal Audit Programme Item No 13.0: Enterprise Risk Register Item No 14.0: Risk Policy & Framework Item No 15.0: Tax Governance Item No 16.0: Interim External Audit Report</p> <p>Reason for passing this resolution in relation to each matter: The protection of the interests mentioned below. Grounds under section 48(1) for the passing of this resolution: Those in Section 9 of the Official Information Act 1982 namely:</p> <ul style="list-style-type: none"> i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations; ii) To enable the University to carry on without prejudice or disadvantage negotiations; and iii) To prevent the disclosure or use of Official Information for improper gain or advantage. 	
<p>The meeting moved in to a Public Excluded Session at 08.03am. The meeting closed at 10.38am Approved as a true and correct record.</p> <hr/> <p>Jan Dawson, Chair 06 March 2020</p>		

Chair Approved but not confirmed by the Committee

Finance Committee MINUTES | PART A

27 November 2019

Meeting Room 105-210, Council Room, ClockTower

08.00am to 10.00am



<p>Present: Michael Daniell (Chair), Scott St John, Sir Ralph Norris, Professor Stuart McCutcheon, Catherine Dunphy and Junyi Wang</p> <p>In Attendance: Adrienne Cleland, Peter Gudsell, Jacqui Metcalf, Mudasir Matto and Bridget Fitzpatrick</p>		
1. Apologies	Cecilia Tarrant, Associate Professor Alex Sims and Associate Professor Amokura Kawharu were all noted as apologies.	
2. Disclosures of Interest	No further disclosures of interest were noted.	
3. Minutes of Finance Committee of 25 September 2019	<p>Item No 3.1: Minutes, Part A</p> <p>Item No 3.2: Matters Arising from the Minutes, Part A, not elsewhere on the agenda.</p>	<p>RESOLVED (Chair Scott St John) that the Minutes, Part A, of the Finance Committee held on 25 September 2019 be taken as read and confirmed.</p>
4. Other Matters for Decision or Noting	No matters for decision were noted.	
5. Leave of Absence	No Leave of Absence was noted for the next meeting.	
6. Public Exclusions	<p>The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:</p> <p>General subject of each matter to be considered:</p> <p>Item No 7.1: Finance Committee Meeting 25 September 2019, Minutes Part B</p> <p>Item No 7.2: Finance Committee Meeting 25 September 2019, Matters Arising from Minutes, Part B</p> <p>Item No 8.0: Treasury Management, Compliance and Cash Flow Report</p> <p>Item No 9.0: Planning and Budget Report 2020</p>	<p>RESOLVED (Chair Scott St John) that the public be excluded from Part B of this meeting AND THAT Mrs Cleland, Mr Gudsell, Mr Matto, Mrs Fitzpatrick and Mrs Metcalf be permitted to remain for this part of the meeting, after the public be excluded, because of their knowledge of the matters to be discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because they relate to aspects of the administration of the University of Auckland for which those persons are responsible.</p>

8.2

Chair Approved but not confirmed by the Committee

	<p>Reason for passing this resolution in relation to each matter: The protection of the interests mentioned below. Grounds under section 48(1) for the passing of this resolution: Those in Section 9 of the Official Information Act 1982 namely:</p> <ul style="list-style-type: none"> i) To protect the privacy of the persons referred to in the recommendations and to maintain the confidentiality of those recommendations; ii) To enable the University to carry on without prejudice or disadvantage negotiations; and iii) To prevent the disclosure or use of Official Information for improper gain or advantage. 	
<p>The meeting moved in to a Public Excluded Session at 8.03am.</p> <p>The meeting closed at 9.37am.</p> <p>Approved as a true and correct record.</p> <p>_____ Chair, Michael Daniell 04 March 2020</p>		

8.2



THE UNIVERSITY OF
AUCKLAND
Te Whare Wānanga o Tāmaki Makaurau
NEW ZEALAND

Planning and Budget Report 2020

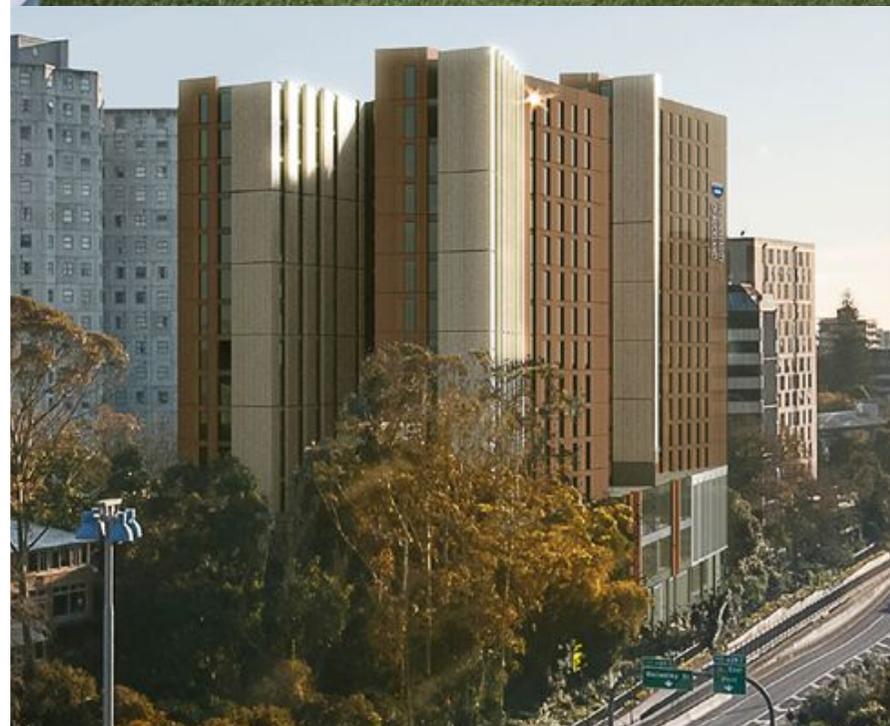
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8.2

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University Overview

The University's commitment as a comprehensive research-led institution of higher learning to the future wellbeing and development of New Zealand is evident throughout its Strategic Plan 2013-2020. The University will develop a new Strategic Plan in 2020. That Plan is expected to build on the successes of the current Plan in delivering benefits to the many communities the University serves through graduates whose skills and knowledge are highly valued and through the discovery, dissemination and application of new ideas. Ensuring that our distinctive and comprehensive curriculum is delivered in ways that respond to the expectations of our students and stakeholders while ensuring our graduates gain the skills, and have the experiences expected of a world-class university, is challenging. Generating the resources necessary to ensure that the University is able to maximise its contribution to New Zealand, remains our biggest challenge.

The University's distinctive curriculum, its aspiration that students of high academic potential receive an outstanding university experience and the value placed on being an autonomous, sustainable, equitable university resulted in the University being ranked first in the inaugural THE University Impact Rankings. The Impact Rankings measure universities' contributions to the United Nations Sustainable Development Goals. A focus on the major rankings has yielded positive results in 2019 with our QS and Times Higher rankings improving. The rankings improvement support and complement our activities to diversify our revenue streams to maintain our staff profile, and to offer our students the world-class experience they seek. We have been successful, by New Zealand standards, in achieving this aim but that has not reduced the need for us to regularly review our activities to ensure that they are as effective as they can be.

The key issues impacting on the budget are as follows:

- The review of the Long Term Academic and Capital Plan undertaken in 2016, identified a range of initiatives that have been subject to feasibility studies. Most of the initiatives identified are now in place and expected to continue into the 2020 to 2022 period. The Design programme is one of the LTACP initiatives and will

enrol its first students in 2020. The Design programme expects to enrol a diverse group of students who can take advantage of the innovative design curriculum alongside existing qualifications through the University's conjoint degrees. The initiatives continue to impact on the breadth and quality of the University's academic portfolio, and their feasibility has been considered in light of the contribution they make to the University's strategic goals. It is important for us to actively review our curriculum, programmes and pedagogy, to ensure our position as market leaders within New Zealand and to be attractive for international students at all levels.

- Domestic EFTS: The University has experienced the impact of intense competition for domestic students. The competition, especially for high potential applicants, comes from other New Zealand universities and international universities, with both offering attractive scholarship packages. In 2019, we again saw an increase in the number of school leavers, the increase in 2019 being slightly lower than in 2018. In 2020 we face a new challenge with a significant drop in the number of year 13 students. We have attempted to limit the impact of the reduction with comprehensive conversion campaigns focussed around pre-Christmas offers to applicants where we have predicted they have a very high likelihood of success. These fast track offers combined with personalised communication and close alignment between programme, accommodation and scholarship offers. Our overall share of the domestic market has largely stabilised at 25% and our share of the domestic school leaver market has also stabilised at just above 25%. In this highly competitive environment, the need to increase our attractiveness to students of high potential has seen the development of new and significantly changed programmes and improvements in the student experience. Our investment in the future Recreation and Wellness Centre and in increased accommodation for all students, including school leavers, returning students and postgraduates with families, are examples of that focus. The investment in the

digital application to enrol, and improved information and advice to students are contributing to improved application numbers. From a revenue view, the low level of increase (1.8% for 2020) to the government subsidy (SAC) and continued limits on the fees we may charge, continue to be a major constraint.

- Demand for international student places remains strong, with good growth in 2019. We face strong competition from Australian, Asian and European universities, especially those ranked more highly than we are. To attract the best students, our fees and the post-study opportunities available to them need to be competitive. After considerable engagement with Immigration NZ, the post-study options for degree and above students were enhanced and are now highly competitive, especially when compared with those in Australia. Initiatives are underway to increase our recruitment from other countries, in an effort to lower our dependency on China. The Strategic Plan target of 18% international students has been exceeded in 2019 and we may get close to 20% international students (by residency). The annual percentage growth in international EFTS has been slowing, but we still expect a 9% growth in 2019 and an 8% growth is forecast for 2020. International fee revenue is expected to grow further to \$189.6M in 2020, with the \$150M 2020 international fees target surpassed in 2019.

- The key recommendations of the IRIS Review were implemented in 2018 and have been actively embedded in 2019. Increased local support for researchers, the development of specialist teams to support research operations, proposal and business development, and strategy, supported by business intelligence dashboards place the University in a good position for the future. University staff have achieved success in key public good funds, although the pools were increased in 2017, the national pool continues to be constrained relative to our international peers. The outcomes of the PBRF research quality evaluation was a major focus in 2019. The results showed a growth in the number of A rated researchers and an increase in New and Emerging (N&E) researchers, Of the eight N&E researchers

that achieved an A grade nationally, four are Auckland staff. Although the result had positive quality outcomes, it did not yield an increase in our share of the PBRF pool and as a consequence the allocation to the University is lower than in 2018. The University has secured grants through the recently announced MBIE Catalyst grants – Space and ICT. To achieve our long term aims we need to further expand our research activity which will need to come from an increased share of existing domestic funds, charitable and philanthropic support, international funds and from commercialisation. There is an increasing focus on impact of research, as well as equity, diversity and inclusion in research grant applications. The Office of Research Strategy & Integrity is working together with the pro vice-chancellors Māori, Pacific and Equity to support researchers.

- Increases in government revenue are limited in 2020 to 2022. Limited increases are expected in Student Achievement Component (SAC) funding rates, as the provision of Fees-Free tertiary education to first year students has limited the government's capacity to provide significant growth in funding to institutions. In 2019 we submitted a new and ambitious Investment Plan, at the time of writing we are waiting on approval by the Tertiary Education Committee. We have been allocated additional funding to grow in the Graduate Diploma in Teaching (Secondary), Bachelor of Engineering (Honours), Bachelor of Nursing and the Bachelor of Medical Imaging, as well as establishing the new Bachelor of Design programme. Additional funding through Government initiatives such as the Centres of Asia-Pacific Excellence (CAPEs), and Entrepreneurial Universities funds will continue through to 2021.

- As one of Auckland's largest property owners and occupiers, the University invests a significant amount each year in maintenance. This is in addition to the very significant construction programme underway which is aimed at establishing a campus environment of the highest possible quality. A major adjustment has been required to the property portfolio. The Health and Safety (Asbestos) regulations which came into

force in April 2018, have a significant impact on operational budgets in 2019. Remediating any asbestos identified through the required audit will have on-going impacts. The budget for 2020 is again highly impacted by the increased depreciation costs. Major capital works in 2020 include demolition of the current Recreation Centre, completing Waipārūrū hall and the Grafton Park West building.

- The 2020 to 2022 Budget continues the structural shifts in our operating model required to address the under-investment in buildings. We will face increasing staff costs, particularly with the need to compete in an international market for academic staff and a strong domestic market for professional staff.
- In 2020 significant staff changes in the Senior Leadership Team will occur. In 2020 the Vice-Chancellor, Deputy Vice-Chancellor (Academic) as well as the Dean of the Faculty of Business and Economics and the Dean of the Faculty of Engineering will be leaving the University. The incoming Vice-Chancellor will commence in March and the development of a new strategic plan will be high on the priorities for 2020.



Strategic Plan on a Page



Our Strategic Plan on a Page 2013 - 2020

Ingenio et labore - By natural ability and hard work

WE ARE			
WE ASPIRE TO	CLEVER PEOPLE <ul style="list-style-type: none"> Attract the very best people Create a safe and inclusive environment in which all can succeed Be a place where innovation, achievement and leadership are valued and celebrated Add value to people's lives 	STRIVING FOR <ul style="list-style-type: none"> Highest possible quality campus environment An outstanding student experience Excellence in learning, teaching and research Highly professional and valued support services A university that is environmentally and financially sustainable A high-performing institution that is the peer of the best public research-led universities in the world 	A BETTER WORLD <ul style="list-style-type: none"> Members of the University who are successful, globally confident citizens Strong national and international partnerships Enhanced economic, social, cultural and environmental outcomes
	WE VALUE	EXCELLENCE  <p>In teaching, learning, research, creative work and administration.</p>	RESPECT  <p>For each other and for our shared commitment to excellence, collegiality, academic freedom, equity and the principles of the Treaty of Waitangi.</p>

8.2



Our Key Performance Indicators

Ingenio et labore - By natural ability and hard work

Clever people	2013 Baseline	2018 Actual	2019 Forecast	2020 Target
A focus on quality rather than growth: Total equivalent full-time students (EFTS)	33,050	33,805	34,208	35,400
Excellent students: School leavers commencing with grade point equivalent ≥ 5	46%	61%	56%	60%
A stronger graduate programme % Research postgraduate EFTS	7.9%	9.0%	8.8%	9%
% Taught postgraduate EFTS	14.1%	16.0%	16.0%	16.0%
An international student body: International full fee EFTS	3,446	4,993	5,441	5,490
Highly engaged staff: Staff Survey engagement score	74	80	79	≥ 80
High quality researchers: World-class researchers A-rated research quality score FTE (PBRF)	288	289	389	355
Striving for	2013 Baseline	2018 Actual	2019 Forecast	2020 Target
Consistently high course quality: Proportion of courses with an evaluation score of 80% or more	69%	65%	67%	$\geq 75\%$
Greater student satisfaction: Students expressing satisfaction with overall university experience	93%	95%	92%	$\geq 92\%$
A sustainable revenue base: Total revenue	\$973m	\$1,202m	\$1,248m	\$1,347m
A safe environment: Number of health and safety incidents	540	515	<650	<=750
Improved environmental sustainability: CO2 emissions per EFTS	0.8	1.00	0.90	0.69
A high performing institution: QS World University ranking	94	85	83	<=50
A better world	2013 Baseline	2018 Actual	2019 Forecast	2020 Target
Value added to people's lives: Total qualifications awarded	10,855	11,637	10,400	12,000
Improved success for Māori: Qualifications awarded to Māori	706	778	650	1,000
Improved success for Pasifika: Qualifications awarded to Pasifika	765	895	700	1,200
Enhanced innovative capability: Doctorates awarded	318	394	450	492
Contribution to knowledge: Publications and creative works	5,472	7,986	7,775	8,115
Research purchased by industry	\$35.9m	\$53.8m	\$38.9m	\$45.0m

New Zealand's public university of high global standing

The Planning Process

The University operates a highly integrated planning and reporting framework that is described in detail elsewhere. The foundations of this framework lie in delegated decision-making, balanced with accountability, consultation, and systematic reporting against objectives.

The University's planning and reporting framework has been designed to promote effective and well-coordinated planning, budgeting, reporting and evaluation across the organisation. In this context, five documents are key to the planning process.

The Charter is a high-level governance document which incorporates the mission, purpose, values and character of the University of Auckland. Although the University is no longer required by the Education Act to have a Charter, the University Council has retained the Charter as a guiding document to the University. The mission and values from this Charter are incorporated into the Strategic Plan 2013-2020.

The Strategic Plan 2013-2020 is the key document in the University's cycle of planning, delivery and accountability. The Strategic Plan outlines the University's strategic objectives and empowers the University community to contribute to improvements in the University's performance and standing. The Strategic Plan will be reviewed and updated in 2020. The Investment Plan 2020-2022 is still based on the Strategic Plan 2013-2020.

The objectives contained within the Strategic Plan are the basis for regular planning and resource allocation as faculties and service divisions consider how they are able to best use resources to maximise progress towards the higher performance and international standing sought by the University. To assist staff understand their contribution to the Strategic Plan a summary - Plan on a Page setting out the key aspirations and indicators that demonstrate the plan's achievement has been developed. See page 6-7.

The Investment Plan has been reviewed and updated in 2019, this is a statement describing the University's plans and activities for the years 2020 to 2022. The Investment Plan under the Education Act 1989 is also the base document which the Tertiary Education Commission must utilise to release general funding.

The University's Long-term Academic and Capital Plan has a 10 year horizon (supported by financial projections which are reviewed annually). The 2020-2022 three year rolling plans are based on the parameters set in the Long Term Academic and Capital Plan 2017-2026, with adjustments for new insights.

The University has a three-year rolling planning and resource allocation model. This process acknowledges that in a large organisation with a clear strategic direction, change takes more than one year to plan, implement and embed.

The consideration of the Long-term Academic and Capital Plan has considerably assisted the implementation of three year rolling plans and has brought a greater strategic emphasis to the faculty and service division planning processes. The performance indicators including lead indicators that provide early signals of potential performance and budget issues adopted in 2016 have been retained for 2020 to 2022.

The overall University indicators continue to focus on the achievement of the Strategic Plan and are outcome focused (University KPI Targets 2020 to

2022). Some additional measures have been adopted to reflect changed emphasis and emerging issues.

Faculty, Service Division and Large Scale Research Institute (LSRI) 2020-2022 Plans are prepared to provide further detail of how each unit's budgeted activities give effect to their own and the University's Strategic Plan. Section one of these plans for the faculties, LSRI's and major service division groupings are provided in this document (Annual Plans and KPIs).

1. Planning and Accountability: Framework for Planning and the Annual Cycle of Planning and Reporting at The University of Auckland. March 2014



Financials

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Introduction

A series of positive signals and changes in offerings underpin the 2020 budget and these combine with a series of shifts in demographics, marketplace, environment and cost structures.

Student enrolments and research performance in 2019 improve the baseline position from which financial performance in the 2020 budget begins.

However, in 2020 the impact of completed buildings as well as new building projects drives costs above the level which standard baseline operations are able to fully support. Consequently, the surplus as a percentage of revenue slips below 3% in the short term.

Students

The Faculties of Arts, Science and Creative Arts and Industries demonstrate the value of growing new disciplines as well as repositioning and refocusing existing discipline strengths. These new and reconfigured programmes respond to market demand and the fast changing expectations of students and employers, while in the short term they can offset traditional disciplines shifting from favour.

Demographic changes have already been seen outside of Auckland in recent years and this fall in school leavers is expected to have a more direct impact on the Auckland School leaver market in 2020.

Other New Zealand tertiary institutions have been actively competing for students in response to demographic pressures using active marketing, scholarships, price discounting, and cost of living arguments to attract students. From 2020 we expect increasing competitive pressures overlaid with changing demand patterns and falling numbers of school leavers. In this demographic and competitive environment we need to grow both domestic and international market share.

The 2020 budget is set responding to these pressures with domestic numbers rising for the first time in a number of years, as growing programmes, departments and faculties outpace domestic contractions and combine with continuing strong growth in internationals.

The new Design Programme launches alongside continuing interest and growth in Global Studies in the Arts Faculty and Data Science in Science.

Other new and emerging initiatives having a positive impact in 2020 are medical imaging and a new focus on harnessing the market demand for Nursing and Optometry programmes. A Government strategy to increase numbers of secondary teachers increases the number of available funded places in the graduate diploma places in Education although we have been cautious in our approach to this increase as market demand for such additional places is not proven.

International growth strategies are spearheaded by the success of articulation agreements with major Chinese institutions in the Faculty of Science, alongside the continuing focus on securing enrolments through agent incentives and streamlining of offer, acceptance and enrolments processes. These factors combine with continuing international interest in Civil Engineering and further new specialisations of Supply Chain Management and Employment Relations in the Business and Economics PGT programme.

Auckland Online launches in 2020 providing on-line postgraduate taught programmes initially consisting of the Master of Public Policy and Master of Educational Leadership. This and further investigations into micro credentials fill a market gap and position the University in an increasingly competitive and potentially disruptive environment.

The 2020 budget is not without risk and not with a high degree of variability of performance across the Faculties. Some Faculties are growing strongly, both in most of their discipline areas but also across domestic and international cohorts, while others have new offerings that offset softening demand in traditional programmes, or international growth offsetting local challenges.

Success relies on good uptakes in new initiatives and a sustained recovery in the traditionally contracting markets countering demographic shifts and increasing domestic competition.

Research

Strong growth in research income has occurred in recent years including a material step change from 2017 to 2019. This level of research revenue is expected to consolidate in 2020 rather than continue to rise at the same pace. The conclusion of the CoRE contracts at the end of 2020 results in uncertainty and reductions in research outputs in some areas.

The University has achieved gains in market share in some of the New Zealand Public Good funding pools.

Financial highlights	2017	2018	2019	2020
\$'000 consolidated	Actual	Actual	Forecast	Budget
Income Statement				
Teaching revenues*	728,328	760,125	786,533	833,237
Research revenues**	260,317	277,175	293,360	299,853
Other revenues	160,789	164,945	167,937	165,299
Total revenues	1,149,434	1,202,245	1,247,830	1,298,388
People costs	630,820	655,871	666,518	686,900
Operating expenses	323,058	313,406	357,009	376,077
Depreciation and leases	156,509	174,283	183,083	202,815
	1,110,387	1,143,559	1,206,609	1,265,792
Operating Surplus	39,047	58,685	41,221	32,597
% of revenue	3.4%	4.9%	3.3%	2.5%
EFTS***				
Domestic	28,567	28,488	28,462	29,085
International	4,514	4,993	5,441	5,861
Other	284	324	305	515
	33,366	33,805	34,207	35,461
Financial Position				
Cash and Investments	158,788	77,807	35,427	35,588
Receivables and other current assets	96,277	120,841	123,427	128,293
Payables	141,500	136,974	142,051	123,796
Research Contract Obligations	98,630	104,032	106,786	106,230
Other current liabilities	119,984	135,812	145,303	154,797
Working capital	(105,050)	(178,170)	(235,285)	(220,942)
Fixed Assets	2,856,756	3,252,245	3,538,440	3,615,290
Funding facility	-	50,000	239,500	290,500
Net Assets	2,724,871	2,995,187	3,031,743	3,068,517
Capital expenditure	191,610	319,637	430,106	237,907
Cashflows				
Operating Activities	201,090	165,565	200,859	212,414
Investing Activities	(172,405)	(295,579)	(431,902)	(263,237)
Financing Activities	(880)	(755)	(136)	(136)
Movement in cash balances	27,805	(130,769)	(231,179)	(50,960)
Cash and Investments	158,788	77,807	35,427	35,588
Funding Facility	-	(50,000)	(239,500)	(290,500)
Net Cash and Debt position	158,788	27,807	(204,073)	(254,912)

*Includes TEC funding, PBRF and tuition fees only.

**Revenue associated with funded research, consultancy, or service activity only.

***EFTS are classified by fee type.

The rises in public good funding pool sizes have been substantial and well signalled for the 2016 to 2020 period. These rises in the pools will certainly be influencing our research revenue growth but may also point to a period of stagnation after the rise in the pools conclude in 2020.

There is a high degree of reliance on the HRC for both revenues and overhead recoveries, with Medical and Health Sciences facing external and increasingly internal completion for these funds. Success in MBIE rounds has been material, rising from a much smaller base and typically with more collaboration.

Beyond the short term, growth in public good research funding will require either a sustained growth in local market share or expansion of our international reach. Both strategies will likely increase the cost of procurement and in the case of international research, will likely come with much lower overhead recovery opportunities.

Rising overhead recoveries from research endeavours are a key measure of financial sustainability, especially as infrastructure step changes are made in support of funded research.

Government Funding

While we must operate in an international market for both students and staff, lower local funding levels and high local building costs both present challenges, especially compared with international competitors.

Government policy has swung to a focus on funding participation and funding specific vocational outcomes rather than broader academic or knowledge-based objectives, with an inevitable impact on our model. Revenues that are constrained by caps on fees and low funding indexation mean the University must employ specific operational and financial strategies in order to achieve strategic objectives.

Investing in new academic staff, encouraging improved academic and research outcomes, identifying and targeting disciplines with the potential to grow and more specifically targeting research areas with the potential to attract local and international funding, have been prioritised to support sustainable growth in academic quality.

Investment

Investments by their nature require forgoing of immediate financial benefits for the promise of greater benefits in the future. The University position and budget for 2020 is underpinned by numerous investments at various stages of their lifecycle.

IRIS changes are expected to have a transformational impact on research both in terms of the support provided to researchers but also in terms of the focus and specialisation of pre-award research business development.

The procurement specialisation that has a transforming impact on the UniServices business model may take some time to get traction, with a possible impact on the pipeline of research in the short term.

The IRIS related investment in Faculty research support teams and in the restructured technical teams drive some incremental cost in 2020, again with the promise of both strategic and financial research benefits. The Function Reviews for Digital Services and Finance are key to building standardised and efficient services and like the Remuneration Strategy some additional costs are expected to be incurred in 2020 ahead of financial and strategic benefits accruing in the medium term.

Capital investment especially those in buildings are some of the most visible investments the University makes. The 2020 budget includes some of the most influential cost shifts seen at the University as the capital programme reaches an intersection between commissioning of newly completed buildings and the commencement of the next tranche of projects.

The three new builds to be commissioned enable the long term academic and financial objectives of the Engineering Faculty and the Faculty of Medical and Health Sciences, while also enabling enrolment levels through significant additional beds at the Waiparuru accommodation facility. The costs of operating and holding these new facilities naturally come on stream, in full, on completion, in advance of the longer term strategic and financial benefits.

This ongoing cost commitment has a profound influence on the 2020 financial performance and coincides with major one-off demolition and asset write down costs associated with the next large building project, the Recreation and Wellness Centre.

The combination of these one-off costs along with the on-going operating costs and 2018's revaluation-related depreciation increment are the primary impediments to the University achieving a 3% surplus in 2020.

Cost Commitment and Revenue Risk

- Borrowing and the cost commitments associated with operating large complex buildings have long been signalled in University long term financial planning.

- There are many positive signals and growth opportunities among the core teaching and research activities of the University. These positive growth opportunities are counterbalanced by rises in inherent risks and, as indicated above, by rising cost commitments.
- Our intent is to be in a position to enable growth and change while balancing committed levels of expenditure with more flexible cost pools, to provide services in a manner that allows us to respond to any developing risk factors.
- Investments in the future are required to respond to both of the objectives of strategic and financial outcomes.
- The 2020 budget is set with an increasingly complex set of competing objectives and optimisations in mind:
- Identifying and launching new opportunities for growth or improvement.
- Considering local competition and international trends.
- Consolidating existing activities including repackaging and repurposing to focus on market needs.
- Continuing the focus on strategies that attract international students to support diversity, quality, and financial outcomes.
- Ensuring faculties facing continuing downturns are well supported to implement new strategies that assure the continuance of academic quality.
- Continuing major building and IT infrastructural projects primarily as an enabler of quality academic outcomes but also with a view to financial outcomes.
- Optimising the use of capital resources to maximise strategic benefits compared with whole of life costs. Extracting both financial and strategic benefits from investments.
- Ensuring that research opportunities both local and international are embraced, including in areas outside of our current capabilities.
- Ensuring student-facing processes are as efficient and effective as possible.
- Ensuring our research support structures respond directly to the needs of researchers, are efficient, underpin the University's strategic research growth objectives and are scaled to respond to achievable overhead recovery levels.
- Ensuring a sustainable operating position that sits within the financial framework of the Long-term Academic and Capital Plan. This ensures that the incremental depreciation and operating costs

inevitably associated with new infrastructure which will come on stream in coming years and the revaluations of existing buildings are affordable

- Ensuring our research support structures respond directly to the needs of researchers, are efficient and underpin the University's strategic revenue and research output growth objectives.
- Ensuring a sustainable operating position that sits within the financial framework of the Long Term Academic and Capital Plan, to ensure that the incremental depreciation and operating costs inevitably associated with new infrastructure and the revaluations of existing buildings which will come on stream in coming years are affordable.

Beyond 2020

The University's longer run financial performance is considered in the LTACP projections that are produced periodically and a fuller set of medium term projections that hinge off the budgets generated annually.

These medium term projections, whilst at a higher level than the full budget, project in detail EFTS movements and the associated revenues, and provide projections also of Faculty and Service Division activity and contribution estimates, including depreciation and asset-related costs in more detail.

EFTS are expected to continue to rise beyond 2020.

Domestic numbers rise for 2021 by a further 350 or 1.2%, with just over 200 the following year. Pipeline growth especially in newer programmes is influential.

Likewise growth rates for internationals fall from the 7.7% level budgeted to add over 250 EFTS or 4% growth in each of 2021 and 2022.

These EFTS movements generate strong revenue growth in the 2021 to 2022 period. The contribution from teaching activities between 2017 and 2020 has grown by increments of between \$16.6m and \$26.6m as revenues, especially international fees, rise faster than resourcing costs, this cost impact being magnified due to the movement of significant Finance and IT costs to Service Divisions. More muted growth in EFTS and relatively conservative resourcing assumptions will see teaching contributions rise in the 2021 and 2022 years by amounts at the low end of these recent results.

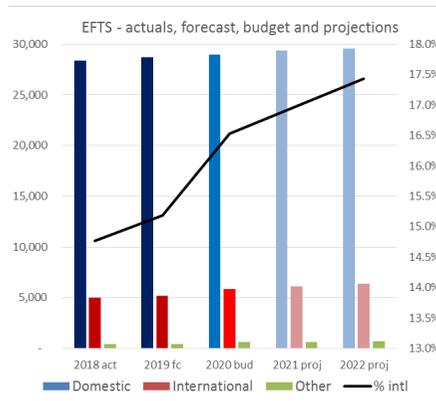
These contribution increments support growth in the University bottom line surplus in 2021 and 2022 as well as cost increments across the Services Divisions.

While inflation impacts will affect cost structures of the Service Divisions in 2021 and 2022 there are a series of other favourable movements expected, some reflecting investments made in 2020 or prior.

The rationalisation of the Libraries has a further positive impact in 2021 as the net of savings associated with Library closures and the project management cost take effect. Including a depreciation adjustment the net costs of Library and Learning Services is expected to fall by over \$1.8m into 2021. Rationalisation based savings are also expected in Finance in 2021, while the net initial costs of the Remuneration Strategy are naturally expected to fall in 2021 and 2022.

The new accommodation facilities opening in 2020 will operate for a full year in 2021 generating additional summer revenue. Some of the most significant positive impacts will occur in Property Services. Building write-downs fall by \$3.8m in 2021 and a further \$7.9m in 2022. Likewise demolition costs fall dramatically over the 2020 to 2022 period.

Continued growth in student numbers and teaching contribution in combination with some investment related financial improvements and the abatement of one-off asset related costs ensures surpluses return to 3% or more of revenue in 2021 and 2022. The onetime surplus dip predicted for 2020 in the LTACP was projected to recover quickly, aligning with the medium-term projection path.



Forecast Financial Performance 2019

Overview

The financial performance of the University remains sound in 2019 as research activity continues to grow, while student enrolments also indicate some positive changes especially for international enrolments.

Although Domestic EFTS in total fall behind budget, with flow on effects for fees and TEC revenue, internationals are ahead and as in previous years, the incremental fee revenue combines with academic salary savings and depreciation savings to offset cost pressures. Cost pressures are evident in Property Services and some other Service Divisions and UniServices struggles to achieve their budgeted surplus in the face of asset write-downs.

A surplus of \$41.2m is expected, very close to the budget of \$40.5m. This is 3.3% of revenue for both the forecast and the budget. The financial performance of the core activities of the University remains sound, improving with the outlook for student numbers. There is sufficient flexibility to respond to variability in student numbers, research levels and support and asset related costs.

Student Enrolments

Total student enrolments continue to grow strongly, with the international cohort numbers exceeding expectations. Domestic numbers stabilise overall ending the contraction path of more than five years.

Growth in Science, Engineering and Medical and Health Sciences (MHS) offsets shortfalls elsewhere. Total numbers rise by 402.7 or 1.2%, falling a fraction short of budget. International targets are exceeded but stabilising isolated areas of long run domestic contraction proves difficult.

Domestic EFTS

The budget for TEC funding was set assuming the University would take advantage of some of the potential 2% additional funding available where agreed EFTS levels are exceeded. Current domestic EFTS forecasts, although a fraction above the TEC agreed funding level, are 1.3% short of budgeted EFTS resulting in little of the up to 2% incremental funding being available. TEC funding is therefore forecast \$5.5m below budget.

Domestic numbers have historically been falling, with the 2019 budget anticipating a turnaround. Domestic

growth was anticipated as a result of strong market and offering-driven expansion in Engineering, Law and MHS. This was tempered by contractions, albeit slowing, in Arts, Education and Social Work (ESW) and Business and Economics (B&E).

Overall, domestic EFTS have stabilised, and the current forecast is close to the 2018 result although with a materially different makeup by discipline. The sound growth budgeted in Engineering, Science, Law and MHS has largely been achieved, but the contractions in B&E, CAI and ESW have been more persistent and steeper than budgeted.

Continued contraction rather than stabilisation in Education and B&E, coupled with an unexpected drop in numbers in Creative Arts drive the domestic EFTS shortfall, comprising 338.3 of the 375.6 EFTS unfavourable variance to budget. This has an impact both on domestic fees and TEC revenue.

New domestic undergraduates achieved a step change in 2018, rising by more than 160, the first growth at this level seen in over five years. Science dominated this growth, but others also experienced trend-reversing growth including Arts, Creative Arts and Law.

New 2019 undergraduate enrolments are expected to be just short of the 2018 level with the budget for new enrolments not met. New undergraduate enrolments are positive for Science and Engineering but all other faculties face pressure for new domestic undergraduates.

The Education and Social Work Faculty is again subject to a high degree of variability and while new undergraduate enrolments rise somewhat, returning undergraduate and postgraduate taught numbers are expected to fall sharply in 2019.

The Arts Faculty don't achieve the undergraduate enrolments of 2018, but the postgraduate taught numbers are favourable. Growth in Science and Engineering is strongest in undergraduates, with postgraduate taught numbers a continuing issue in Science. B&E also face issues with domestic postgraduate taught enrolments, growth in B&E international students has partially offset the domestic contractions.

International EFTS

Growing international student numbers in both raw terms and as a percentage of the total population is a

strategic objective and material progress continues in 2019. Total international numbers continue their growth path and are expected to outpace the budget. International EFTS are forecast at 5,441, representing growth of 448 or 9.0% over 2018, and exceeding budget by 225. This growth rate compares to 12.3% in 2017 and 10.6% in 2018.

New undergraduate international enrolments grow by 90 in 2019 after recent annual growth of between 54 and 67. Science are responsible for 66% of this growth with strong numbers in Computer Science, Mathematics and Statistics. Business & Economics and the less traditional areas of Arts and Education & Social Work also show growth in new international undergraduates.

Postgraduate taught numbers continue to rise in 2019 and represent over a third of the total growth from 2018, but the rate of growth at this level is slowing. Postgraduate taught numbers rise by 174 in 2019 down from more than 200 in each of 2017 and 2018.

Science experience a changing mix of students with internationals growing faster than local students. Engineering international growth is once again dominated by PGT programme enrolments. New undergraduate international enrolments are more challenging to achieve.

Arts, ESW and Law also experience growth in international numbers. Achieving growth in the MBChB international cohort in MHS has been challenging but the EFTS shortfall forecast is largely offset by over achievement in other areas.

In aggregate the 5,441 international-fee EFTS forecast represents 16% of the total population up from 11% in 2014.

The mix of the student population continues to change with internationals substituting for domestic, and Science, Engineering and MHS growth offsetting the resizing occurring in B&E and ESW. All these mix movements drive up average revenue per student. The pace of the change leads to challenging resourcing and recruitment decisions, as well as asymmetric infrastructure and space capacity questions.

Research

Real growth in research activity is expected in 2019 and this alongside some centralisation initiatives sees

substantial growth in Engineering, Science, MHS and ABI.

The 2019 budget was set conservatively and the majority of Faculties are now expecting to both grow from 2018 and to substantially exceed budget. In part this growth reflects the transfer of CoRE subcontract projects and the transfer of more commercial grants from UniServices part way through 2018.

Faculty EFR now includes internal subcontracts from the MedTECH, MWC and Brain CoRES. These were formerly accounted for alongside the CoRE head contracts rather than in the Faculties where this subcontracted research takes place. This change in treatment in 2019 has the effect of increasing the gross research revenue associated with Science, MHS and ABI by almost \$10m. This treatment will better indicate the levels of activity conducted by these researchers using Faculty infrastructure. Naturally the adjustment for internal transactions also rises in tandem, leaving net external research revenue unaffected by the change in internal treatment.

In the Health Research Council (HRC) awards announced this year the University was awarded two programme grants totalling \$9.9m and 11 projects totalling \$12.4m. While the programme awards are about average the project success is well down on the expectation. In aggregate grants totalling \$22.3m were awarded, compared with \$39.1m and \$34.9m in 2018 and 2017 respectively.

Even though the HRC awards for 2019 were disappointing, HRC activity in MHS in 2019 continues to rise as grants awarded in 2017 and 2018 either commence or increase in activity. The 2019 HRC activity is expected to be more than \$6.1m higher than in 2017. The more commercial grants formerly conducted via UniServices is the other major growth area with these stepping up by approximately \$2.0m in 2019.

Incremental funded research activity in Engineering for 2019 is material and is associated with three factors. Previously awarded Marsden fund grants are expected to generate incremental revenue approaching \$900k and more commercial grants step up by over \$3.0m in 2019. The Entrepreneurial University projects are jointly funded between the University and the TEC. Engineering are the recipient of two of these and the initiative associated with three-dimensional printing

technology brings with it \$1.2m in 2019, expanding into 2020.

Research revenue in ABI has been transformed in the past three years by securing a relatively small number of high value and high-profile grants. Marsden, MBIE and HRC grant activity is increasing and is expected to step up in 2019 by \$1.4m. Increasing activity in the first two Entrepreneurial Universities grants combined with sizable US funded NIH grants have a larger impact on ABI outputs.

Science has been very successful in the Marsden and MBIE rounds of 2017 and 2018. This explains the continuing growth of revenue from these sources currently approaching \$3.0m in 2019.

Education has a small number of larger grants and a number of new philanthropically-funded research projects. The revenue increment forecasted reflects increased activity levels in existing grants rather than new wins.

UniServices have rationalised some of their activities and combining this with the full year impact of the projects transferred in 2018 leads to materially lower research and contracting revenue in 2019.

Service Divisions

Most Service Divisions expect to achieve their budgets. Cost pressures or material changes in operating circumstances are confined to relatively few units. Function reviews have a sizable impact on Digital Services (formerly ITS / CDO), Library and Learning Services and Finance, with Property Services and Campus Life facing cost or revenue pressures.

The most significant cost impact in Property is building depreciation. The University's building portfolio was revalued, outside of its normal revaluation cycle, as at 31 December 2018. The impact on the value of the building portfolio was a net increase in value of 13.8%. This has naturally increased the University's depreciation exposure and occurred after the 2019 budget had been set. The impact on depreciation was less than the value increase as building life changes, and some late building write offs and variability in the timing and scale of capitalisations keep the cost increment to approximately \$5.7m.

Loss on disposal of Fixed Assets associated with the demolition of the fit-out and services of the Student Union Cafe Block and a third of the Underground Carpark is \$4.1m in 2019.

Cashflows

Operating cash-flows were budgeted at \$191.9m reflecting a return to a more sustainable level in 2019 and the forecast indicates an improvement over that level. This is well ahead of the operating cashflows generated in 2018, yet below those of 2017, primarily reflecting unusual transactions in those years.

The sale of intellectual property (IP) by UniServices late in 2017 materially increased operating cashflows in 2017. The cash outflows associated with the IP sale occurred early in 2018, effectively reversing some of the 2017 windfall leaving both 2017 and 2018 influenced abnormally by this transaction.

The 2019 operating cash flow forecast is a more standard result, reflecting surpluses, non-cash expenses and movements in working capital.

The forecast surplus is achieved in the context of higher levels of activity than budgeted. Externally funded research is the major contributor to this, supported by some other activities as reflected in both total revenue and operating cash inflows

This incremental activity alongside some cash cost saving enables incremental non-cash depreciation and building write-downs to be absorbed within the budgeted surplus. This mix of factors results in operating cash inflows rising to a greater extent than operating cash outflows. Net movements in working capital have traditionally been a significant generator of positive cashflows.

Sustainable and growing operating cash-flows are a key metric in the future affordability of capital reinvestment. Operating cash flows have stepped up materially in the 2014 to 2018 period, in part driven by cyclical activity flows and unusual transactions. The 2019 result is expected to return to more normal levels as projected in the Long-term Academic and Capital Plan, with the cycle of CoRE contracting expected to result in a cash consumption effect in 2020.

Capital expenditure is expected to be marginally short of the record \$436.2m 2019 budget mostly reflecting slower starts to a series of minor building projects. Engineering, Park West and Waiparuru building projects are all close to completion thereby reducing the uncertainty of the expenditure. Additional capital expenditure has been incurred elsewhere with some additionally approved strategic projects for Digital Services and the sizable equipment capital invested as part of the Entrepreneurial University's projects.

The funding facility will be required at year-end although lower borrowings will be required than

budgeted. The combination of an improved opening cash position and lower capital expenditure will see the borrowing requirement drop from the \$270m budget to an expected level of under \$240m at 31 December 2019. This is the sum required to be drawn from the funding facility rather than the net of borrowings and restricted short term investments.

Cash and funding requirements for the medium term are being reassessed as variability in the timing and

scale of major building projects is refined. The \$300m committed facility has been reinstated and the University Council have approved a substantial increase in the borrowing limit. Negotiations with TEC to get approval for an increase in the borrowing facility and any associated monitoring conditions are advancing.



Proposed Budget for 2020

The budget for 2020 continues the emphasis on growth of revenues through increasing international and domestic students, retaining domestic students, and growing funded research.

Buildings and infrastructure are a critical enabler of both continued growth and retention of students and staff with a view to maintaining and enhancing quality. Increasingly the cost of this infrastructure is rising faster than core activities, often by factors outside of the University's direct control.

Teaching Activities

Teaching Revenues

TEC Funding

TEC funding primarily comprises the Student Achievement Component (SAC) and the Performance Based Research Funding (PBRF). In 2020 a combined \$448.1m is budgeted, a rise of \$11.1m or 3.2% over the 2019 budget and \$16.6m or 4.9% over the 2019 forecast.

This 2020 budget represents the largest growth in this funding for some time and the 4.9% growth for 2020 compares to a compound annual growth rate of just 1.8% over the 2016 to 2019 period.

Student Achievement Component

The Government Budget for 2019 announced a universal increase in SAC funding rates of 1.8%. The 2020 University budget takes account of this increase as well as the Mix of Provision (MOP) funding associated with agreed changes to the volume or mix of students. In addition funding for specific new areas or programmes has been agreed with the TEC. The funding for the ICT programmes continues, concluding at the end of 2020.

The 2020 1.8% general increase amounts to \$6.1m, a sum sufficient to address inflation of only 0.56% across the University cost base. In addition to the general increment, the MOP negotiated with the TEC provides an additional \$908k to give baseline SAC funding of \$343.6m. The MOP is associated with 27,938 EFTS.

Further funding for specific growth areas, programmes or strategic initiatives has also been agreed for 2020. Additional funding for the Graduate

Diploma in Teaching (secondary) aligns with a Government initiative to increase the number of teachers and this brings with it \$1.1m in SAC funding for 2020. Additional funding totalling \$1.62m has also been provided for the Bachelors of; Design, Engineering (honours), Nursing and Medical Imaging.

The aggregate agreed base funding comes to \$346.3m, \$9.7m or 2.9% higher than the 2019 base.

SAC funding is not fixed at the agreed levels however, as it is subject to claw-back provisions if the actual EFTS achievement varies from that agreed. The funding for the Graduate Diploma in Teaching (secondary) is ring-fenced and subject to its own clawback regime.

Generally if the SAC funding associated with actual EFTS enrolled is lower than that agreed, then a claw-back of funding will occur. Conversely, if EFTS numbers are exceeded, additional funding of up to 2% in funding terms will be made available.

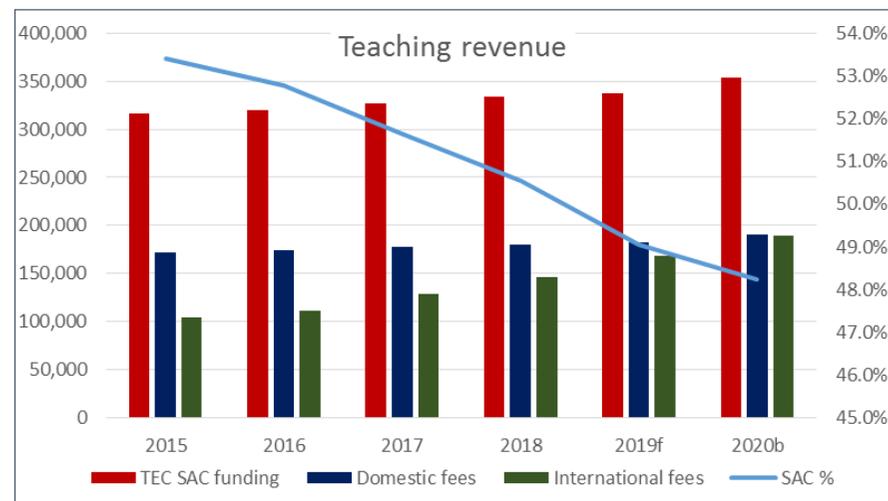
The SAC funding associated with the domestic EFTS assumed in the University's 2020 budget exceeds the \$346.3m base figure agreed with TEC. The budget assumes 29,982 EFTS and the SAC funding associated with this budgeted level of EFTS is \$353.8m.

Given this funding associated with the budgeted EFTS is more than 2% higher than the agreed sum, just 2% more than the agreed sum or \$354.2m has been adopted for the 2020 budget.

The 2019 budget also assumed some of the additional SAC funding under the 2% provision would be made available. While 2019 EFTS are growing they have not reached the budgeted level and the forecast for 2019 SAC funding is lower than the budget by \$5.5m.

TEC SAC funding continues to fall as a proportion of total direct teaching revenues. In 2014 SAC funding represented 54.0% of teaching revenues, falling to 48.2% budgeted for 2020. This somewhat constrained revenue stream naturally falls in importance compared to those that are less constrained, with international fees playing an increasing role in our mix of revenues.

Funding for the ICT programme will finish after 2020 and is provided on a separate basis from the main SAC funding, but this relatively small funding source is



included as SAC in reports. This funding is expected to drop in 2020 to approximately \$930k, reflecting a more realistic yet lower anticipated student intake and a decrease in the 'outcomes' funding. Beyond 2020 ICT students will be funded as part of the agreed MOP levels only.

PBRF revenue

Performance Based Research Fund (PBRF) revenue is a product of two factors. Firstly it is influenced by how well the University performs relative to other universities in three performance measures and secondly by the size of the national PBRF funding pool. The size of the national pool has been the more influential factor.

Over the period from 2012 to 2016 the PBRF pool rose from \$250m progressively to \$300m, and a further \$15m rise in the PBRF pool was announced for 2018. No further changes to the pool for 2019 or 2020 have occurred, meaning changes in expected PBRF revenue for 2019 and 2020 are the product of changing expectations in the three performance measures only.

The PBRF Quality Evaluation was conducted during 2018 and following the assessment phase, a report on 2018 Quality Evaluation results with indicative funding allocations was released in April 2019.

The University of Auckland dominated the results in terms of numbers of the most highly ranked academics, however the relative percentage score

dropped from the previous 28.3% level to 27.7% due to the dilution of the national pool of funding.

The Quality pool is 55% of the overall funding or \$173m and so naturally every percentage point movement in the score is associated with a \$1.73m movement in PBRF revenue. The drop to 27.7% came with a drop in PBRF revenue of \$1.04m. The 2019

		2019 BUDGET	2020 BUDGET	2019 vs 2020
POOL (\$000)	Quality	173,250	173,250	
	RDC	78,750	78,750	
	ERI	63,000	63,000	
		315,000	315,000	
SCORE (%)	Quality	28.30%	27.70%	(0.6%)
	RDC	30.01%	31.40%	1.4%
	ERI	34.18%	33.50%	(0.7%)
REVENUE (\$000)	Quality	49,033	47,990	(1,043)
	RDC	23,634	24,728	1,094
	ERI	21,533	21,105	(428)
		94,200	93,823	(377)

forecast reflects this drop in addition to a wash-up from an earlier period.

The 2020 budget for PBRF revenue reflects the 27.7% quality score as well as the TEC estimated scores for Research Degree Completions (RDC) and External Research Income (ERI). The other relative scores are also changing as detailed in the table overleaf.

Aggregate PBRF revenue is expected to fall fractionally in 2020, with the recently announced quality score reducing revenue by \$1.04m.

The RDC score estimated by TEC has risen by 1.4% points to largely offset the quality drop.

The ERI score also falls fractionally, leaving total PBRF revenue at \$93.8m, a \$377k drop from 2019.

RDC and ERI are recalculated annually and have traditionally been subject to variability, whereas the Quality Score has a static impact on 2019 and 2020 and four future years.

Tuition Fees

In an environment where TEC funding is restrained with only small increments annually, growth in fees is a key revenue stream in sustaining quality offerings and achieving strategic objectives.

Fees generally are a product of both student numbers and indexation. Although the domestic fee indexation is constrained, fee revenue generally is less constrained than TEC funding, limited primarily by our ability to attract domestic and international students.

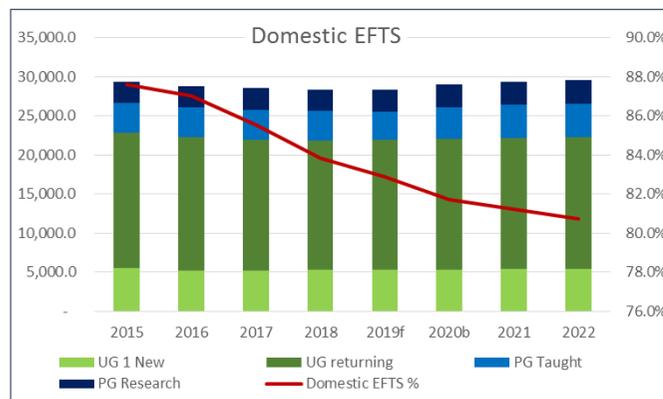
Domestic EFTS and Fees

Context

Over the 2011 to 2015 period, overall domestic student numbers were stable or gradually falling, with growth at postgraduate research or within STEM subjects and the high demand MBChB and Law programmes largely offsetting softening demand in Arts, Education and Creative Arts.

These conditions intensified in 2016 and 2017, with faster contraction in the traditional areas and some new pressures revealed. A general shift in demand toward STEM disciplines and other disciplines with solid employment outcomes combined with a declining school leaver demographic led to a strong competitive response by other tertiary providers.

As a result, aggregate domestic enrolments fell by 519.3 EFTS in 2016 followed by 288.0 in 2017. The new undergraduate (1N) level is an important lead indicator for enrolments and these numbers fell by



416.2 over the 2015 to 2017 period, led by Science, Education and Arts.

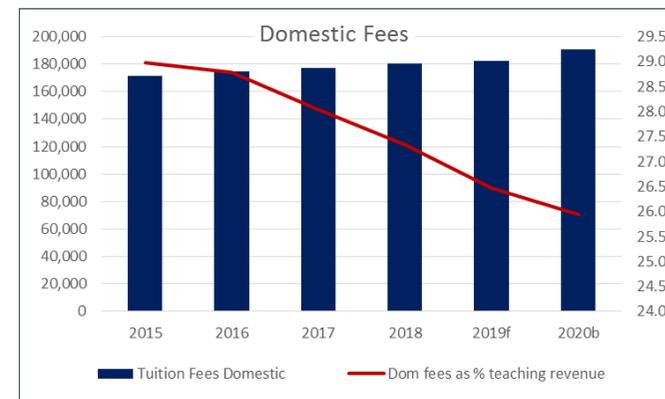
The total domestic numbers for 2018 continued to contract but it was at a slowing pace and selected enrolment areas started to demonstrate a materially different pattern. Science especially, but also Arts saw increases in new undergraduate enrolments reversing long run trends. This in part reflected Data Science related disciplines of Computer Science and Statistics in Science and the new Global Studies programme in Arts. Law naturally grew with a change in programme at level 1 as did Engineering, with Education and B&E the primary counter balance to the overall new enrolment growth of 162.

Domestic postgraduate numbers over the 2015 to 2018 period have seen strong growth in research enrolments by 88 or 3.3% offset by contracting postgrad taught. The contraction of postgraduate taught enrolments were most pronounced in Arts, Education and Business and Economics, where numbers fell by 267 over this period.

This 2018 undergraduate turnaround has largely consolidated in the 2019 EFTS results and has shaped the thinking for the enrolment projections for 2020 and beyond.

Forecast 2019

The aggregate domestic enrolment forecast in 2019 has stabilised halting the declines seen for at least the past five years. Undergraduates in total rise fractionally consolidating on the 2018 position, while the offsetting movements in postgraduate taught and research continue. This stable total belies the mix of contraction and expansion occurring at the Faculty level.



Like the aggregate, Arts numbers are largely stable in 2019 but with a mix of contractions and expansions at the school level. Engineering continues an anticipated long run growth path, with all levels for 2019 expected to grow in line with expectations and the Data Science related disciplines in the Faculty of Science continue to lead growth there. Science expect domestic numbers to rise by 71 in 2019 with the Data Science related disciplines of Computer Science, Maths and Statistics rising by over 86. Chemical Sciences and Psychology also grow to offset falling numbers elsewhere.

Business & Economics and Education & Social Work both continue to face shrinking markets for their traditional offerings and intense competition. These factors continue to influence enrolment outcomes. B&E have shed almost 400 EFTS since 2016, a compound annual contraction of 2.3% pa, while Education have lost almost twice this number at 772 since 2015, a compound contraction of 7.4% pa.

The 2020 budget for domestic EFTS is framed in this complex historical context.

Budget 2020 - Overview

The Domestic EFTS budget for 2020 is set responding to numerous new and continuing internal and external factors.

Internal factors include the launch of the new Design Programme, the launch of Auckland Online the initial roll out of online programmes, the pipelining growth in the Global Studies Programme and increasing interest in our Information and Communication Technology offerings.

External factors include the Government's initiative to fund more Secondary Education postgraduate diplomas and the continuing market shift toward Engineering, Science and Medicine disciplines, while traditional offerings in Education, Business and Economics and Arts recede in popularity.

Demographic shifts have influenced school leaver numbers across the country in recent years although with shifts happening outside of Auckland until recently. A clearly identified fall in year 13 Auckland high school enrolments for 2019 suggests that there will be a drop in school leavers from these important feeder schools for 2020. If we only retain our current market share of Auckland school leavers we can expect to enrol approximately 150 less Auckland school leavers.

The 2020 budget assumes that the new programme offerings and the disproportionate focus on Engineering and Science alongside further improvements in enrolment processes will lead to an increase in market share to offset the demographic shift. The University's market share among this group has been rising from 23.7% in 2015 to 24.9% in 2018, with the rise from 30.9% to 32.5% in the top 30 schools most influential.

The rate of contraction in domestic EFTS has been falling steadily as disciplines and Faculties growing become more influential that those areas continuing to fall. The 2019 forecast sees numbers stabilise with similar aggregate enrolments to 2018 and the 2020 budget consolidates and builds on this improving mix of outcomes.

In total 2020 domestic EFTS rise by 623, with 335 of this growth in Science, Medical and Health Sciences

or Engineering, where recent growth has been strongest.

Postgraduate taught level EFTS rise fastest for 2020 lead by the sizable increment in funded and budgeted places for the secondary school teaching graduate diplomas in Education. This growth in funded places is part of a Government strategy to increase the numbers of teachers and the demand for teacher education. We have treated this growth cautiously as market demand for these additional places is not proven. Material growth in Nursing postgraduate taught enrolments is budgeted in MHS in response to demand and new strategies in both Science and Business and Economics are expected to result in modest growth of taught EFTS after long term contractions.

ENGINEERING

Engineering has grown very strongly across all domestic levels, rising by 446 EFTS or 4.7% CAGR since 2016 with pipelining undergraduates growing in conjunction with postgraduate taught EFTS. The undergraduate programme has led the growth at 5.4% CAGR, with slower but steady growth at both postgraduate taught (3.9%) and research (2.4%).

New undergraduate enrolments are a lead indicator of the health of the undergraduate programme generally and the continuing growth of new enrolments between 2015 and 2019 is expected to stop in 2020 as space and resourcing constraints become more influential. The EFTS budgeted for 2020 grow at a much lower rate, reliant entirely on continued expansion at postgraduate level. Growth of 57 or just 1.6% is anticipated and is essentially split between the postgraduate taught and research levels.

Domestic tuition fees in Engineering have continued to grow primarily in accordance with student numbers, mix and fee rate indexation. Total domestic fees rise by 5.2% into 2020 to reach \$26.6m, a not dissimilar rate from the 5.5% or 5.6% of recent years. With 2020 growth reliant on postgraduates, fee mix shifts have more impact and approximately a third of the \$1.3m growth in domestic fees reflects these shifts.

LAW

Undergraduates in Law have risen sharply over recent years as level two intakes into the core Law Programme have increased while the offerings at level one expended. The budget for 2020 grows in total by 57 EFTS.

MEDICAL AND HEALTH SCIENCES

The MBChB is an important programme for the Faculty of Medical and Health Sciences and the

residual growth in this programme has dominated movements in domestic EFTS over the 2016 to 2019 period.

Growth in intake numbers for the MBChB concluded in 2016, but the pipelining of the 260 commencing EFTS has seen the programme continue to rise slowly reaching an equilibrium level in 2019 or 2020. Over the 2016 to 2019 period this residual growth has generated an additional 115 high resource and high revenue EFTS, mostly affecting the Schools of Medicine and Medical Science.

In aggregate the Faculty grew by just 98 over this period, with Nursing, Pharmacy and Population Health all contracting to partially offset the MBChB upside. Nursing have suffered some variability with their TEC funded PGt programme and a steady decline in undergraduate numbers, while the contract programmes have been steady or rising. Nursing have fallen by 5.4% over the 2016 to 2019 period with Pharmacy falling by 12.1% primarily in their undergraduate programme.

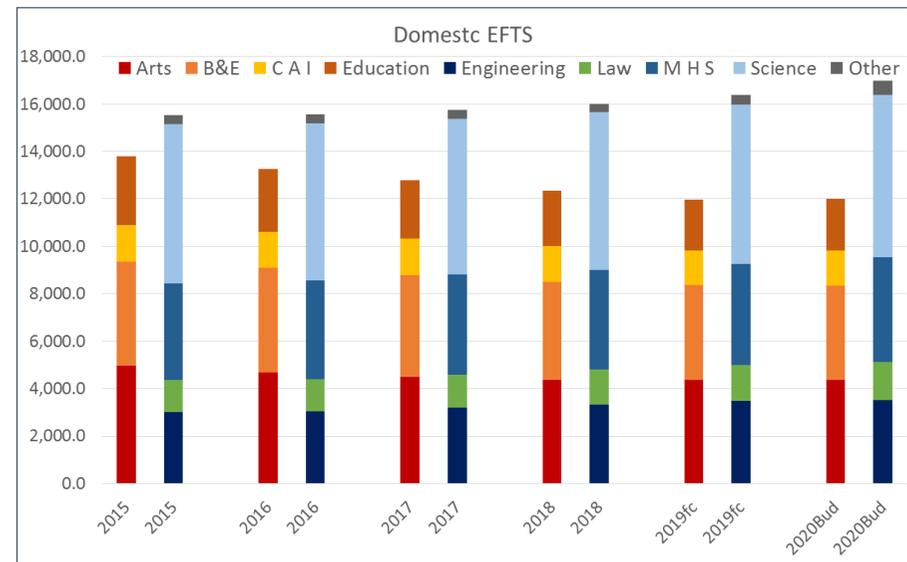
The 2020 budget sees the conclusion of any material growth in the MBChB programme, with the 147 EFTS rise expected over 2019 driven from some new quarters. Medical Sciences continues to modestly expand undergraduate numbers with the new Medical Imaging programme, but the results of changing strategies in the School of Nursing have the more influential impact. Sizable market demand has been identified for both TEC funded and contract postgraduate Nursing Programmes. Growth in TEC funded postgraduate taught programmes drives two thirds of the expected 62 EFTS or 9.4% growth in Nursing.

Tuition fees growth in the past, like EFTS, has been driven by the relatively high fee of the MBChB. This has resulted in average fees per EFTS rising faster than fee price indexation. With the growth in numbers all occurring in lower domestic fee bands in 2020 average fees per EFTS fall fractionally but total domestic fees still rise in the Faculty by a healthy \$1.3m.

SCIENCE

Postgraduate research EFTS in the Faculty of Science have been a consistent performer rising steadily by 2.4% CAGR from 2015 to 2019 and on into 2020. This steady growth in part mirrors the steady growth in funded research in the Faculty.

EFTS at other levels have been more variable recently, but with undergraduate and postgraduate taught EFTS falling almost universally between 2015 and 2017. The domestic market for postgraduate taught



The graph above compares the 2015 to 2020 movement in domestic EFTS in the STEM Faculties of Engineering, Science and Medical and Health Sciences with those in Arts, Business, Creative Arts and Education.

enrolments while steady or rising for Computer Science and Statistics, has been dropping steadily across the Faculty. Between 2016 and 2019 postgraduate taught enrolments have fallen steadily from 587 EFTS to just 501 in 2019 a CAGR drop of over 5%. This contraction is led by Biological Science, Chemistry, Environmental Science and Exercise Science.

In 2018 new enrolments jumped by almost 115 or 7.1% after successive years of falls, including a fall of 176 between 2016 and 2017. Computer Science, Statistics, Chemistry and Biological Science made up 75% of this step change growth in 2018. Growth in new undergraduates has been more muted in 2019 with significant growth reoccurring in Statistics and occurring in Mathematics.

Science's domestic EFTS budget for 2020 anticipates continued strong growth from Computer Science, Statistics and Mathematics, the departments associated with Data Science. Although incremental new undergraduates are growing only fractionally a focus on the issues at postgraduate taught is expected to see a turnaround especially in Chemistry and Biological Science. Overall EFTS are expected to rise by 1.9% to 6,854 leading to domestic fee revenue increasing by more than \$2.0m in 2020.

ARTS

The Faculty of Arts expect modest growth in domestic numbers to 4,379 EFTS, continuing the stabilisation achieved in 2019. As with the 2019 forecast the aggregate results reflect a mix of growth associated with the Global Studies programme primarily in Cultures Languages and Linguistics (CLL), offset by a continuing contraction in numbers in Humanities and to a lesser extent Social Sciences. The Global Studies programme reaches its third full year in 2020 and the 73 EFTS growth in CLL naturally reflects the ramp up of a new undergraduate programme. Growth beyond 2020 will be slower and less able to offset contractions elsewhere as students complete the new programme.

Humanities have shed on average over 100 EFTS a year for each of the last five years, including 112 in 2019. Some improvements are expected in 2020 with numbers more stable at postgraduate level but in aggregate they essentially offset growth in CLL. Social Sciences remains relatively stable again with further improvements at postgraduate anticipated.

Domestic tuition fee revenue for Arts grows by over \$500k or 1.75% essentially reflecting fee indexation. Domestic fees budgeted for 2020 at \$24.9m are barely higher than those achieved in 2016 as four

years of fee indexation has only just offset the impact of EFTS falling by 6.6%. There is little movement in teaching revenue in the Faculty outside of international fees.

BUSINESS AND ECONOMICS

While Arts, Education Creative Arts and Business & Economics have all experienced enrolment pressures in recent years, Business and Economics, in the absence of a new programme or new funding levels, is the only Faculty budgeted to contract in EFTS numbers for 2020.

The material contraction experienced between 2016 and 2019 was highest in Accounting & Finance and Commercial Law where in combination numbers fell by 261 or 65.6% of the 398 EFTS total fall, but the majority of departments consistently experienced falls. Enrolments forecast for 2019 see a less consistent pattern with Economics, Information Systems and Operations Management, Management and Marketing all either growing or stabilising, offset by steeper declines in Accounting and Commercial Law. These two core disciplines fall by 125 EFTS or 8.8% in 2019 alone.

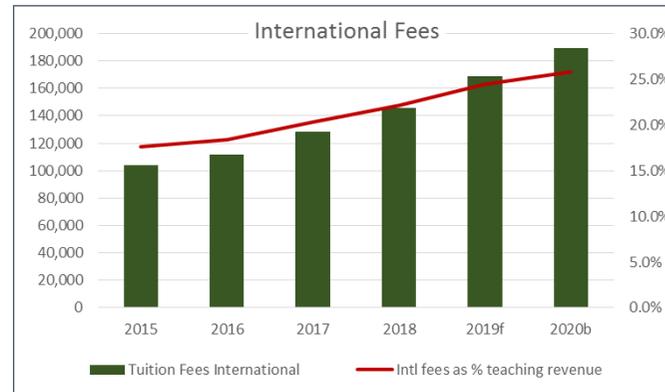
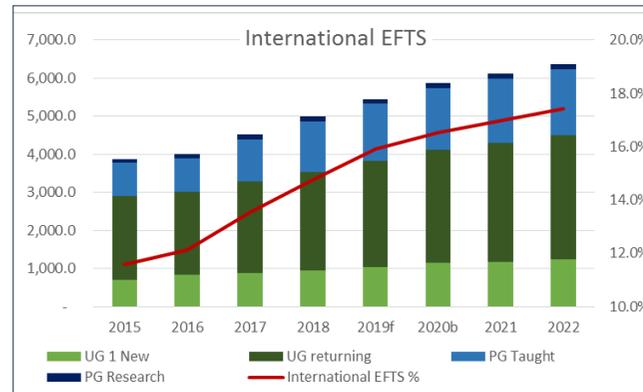
The 2020 budget assumes an improving enrolment outcome with the 127.3 EFTS contraction of 2019 falling to just 42 in 2020 largely as a reflection of stabilised number of returning undergraduates in Accounting and Commercial Law.

Domestic fees in aggregate grow only fractionally to \$25.8m in 2020 influenced by price indexation. The changing enrolment fortunes of the Faculty in the past five years leave the 2020 fees \$1.1m lower than those achieved in 2016 as EFTS contractions and mix movements have outpaced the effect of indexation over that period.

CREATIVE ARTS AND INDUSTRIES

The primary influence over 2020 enrolments in Creative Arts is the commencement of the Design Programme. Enquiries and applications for the new programme have been very encouraging to date and the 61.5 domestic EFTS budgeted to commence in 2020 don't seem at risk. Naturally these numbers are expected to grow, with almost 185 projected for 2023.

Domestic numbers in the Faculty had been stable in recent years with undergraduate growth in Architecture and Planning and Music offsetting the longer-term decline experienced in Fine Arts. A sharp downturn in new undergraduate Music enrolments for 2019 reflect internal issues in the department rather than market demand issues and alongside a small shortfall for Architecture shapes the 2019 result. In



aggregate domestic numbers are forecast to fall by 58 EFTS or 3.8% in 2019.

The commencing enrolments into the new Design Programme are enough to offset some continuing corrections in Architecture and Music, with a new pipelining programme likely ensuring strong aggregate domestic growth over the medium term. Although the Design Programme has the potential to negatively impact on new Fine Arts enrolments many potential students would have been attracted to other Institutions suggesting programme growth also results in an increased market share for the University.

Domestic fees for the Faculty rise by 5.8% to almost \$10.0m, responding to the 2.9% increase in domestic EFTS

EDUCATION

Changing market demand, demographic changes nationally, and increasing competition combine to continue to negatively influence 2019 enrolments forecast by the Faculty of Education and Social Work. Between 2015 and 2019 numbers have fallen by more than 26%, with undergraduate programmes falling slightly faster than postgraduate. The total domestics EFTS forecast are now just 2,137 as compared to the over 2,900 achieved in 2015

A shortage of teachers nationally especially at secondary level has seen the Ministry of Education seek to increase numbers though funding incremental places in graduate diplomas. An additional 300 places (or 375 EFTS) will be funded in 2020 as part of this initiative, with this specific ring-fenced funding returnable if the incremental numbers are not achieved.

After more than five years of EFTS receding the Government initiative is instrumental in the modest growth budgeted in the Faculty for 2020. In total numbers rise in 2020 by 24, but with undergraduate numbers continuing the pattern of the recent past. Returning undergraduates are expected to continue to fall by over 100, consistent with the pattern of the last three years, while new undergraduate enrolments align with the 2019 numbers at approximately 300.

Naturally the significant changes budgeted are at postgraduate taught. The taught numbers had fallen from 867 in 2016 to just 659 in 2019. The 2020 budget is framed in the context of numerous taught programmes continuing to drop, offset by new enrolments into the secondary teacher graduate diploma programme. In acknowledgement that the change in demand will likely lag behind the increase in supply of funding and places, the Faculty has budgeted new enrolments conservatively. In the face of a 95 EFTS taught programme contraction in 2019 the 2020 budget is set at 770 a net rise of 111 EFTS. This shift in demand for teaching places is not yet proven and an acknowledged area of risk for the Faculty budget.

Mirroring the movements in student numbers, domestic tuition fees for Education rise in 2020, with the budget of \$12.4m reflecting not only increasing numbers and indexation but also the downward market based correction of fees for the graduate diploma programmes. This correction aligned the fees for all graduate diplomas to a 120 point equivalent, resulting in lower but more marketable pricing, at a cost of approximately \$550k in 2020.

FEES SUMMARY

The overall growth in numbers of 623 EFTS (2.2%) compared to the current forecast leads to an \$8.2m increase (3.6%) in domestic fee revenue. This fee movement is the product of three factors; \$4.0m is notionally associated with the growing volume of students, \$3.6m reflects necessary cost derived fee increases and the changing mix of students has a \$0.6m impact.

The average domestic fees rise by 2.3% to \$6,547. Any movement in excess of the 2% inflation reflects the moving mix of students. The material growth in postgraduate research students in Engineering and the general movement toward higher yield programmes in Engineering Medicine and Science drive this mix shift

INTERNATIONAL EFTS and FEES

International fee revenue is the fastest growing revenue source due to multiple strategies actively targeting growth in international student enrolments and focussed activity which has seen streamlined offer and acceptance processes.

Total international fee revenue is expected to rise by \$21.0m in 2020 to approach \$190m, more than doubling the revenue of 2014 for growth of 12.3% CAGR.

Growth in international fee revenue is an important enabler of wider strategies. It has grown steadily since 2014, reflecting rising student numbers and cost driven fee rate changes. The steady growth in the fees naturally follows growth in student numbers. International numbers have grown by 8.5% CAGR

over the 2014 to 2019 period, with a more conservative 7.7% expected for 2020.

Given domestic numbers have been static or falling over much of this period, internationals are budgeted to comprise 16.5% of the total student population in 2020, up from 9.9% in 2012. Many of the Australian benchmark Universities have fast growing international student bodies, typically well in excess of 20% of totals and this informs the strategy to continue to encourage the growth of international students. Over the next ten years, the aim is to shift this proportion to 19.7%.

The most dramatic rise in international EFTS and revenues occurred in 2017, with overall growth of 12.4% and 26.1% for postgraduate taught programmes. The 2017 revenue rose by \$16.8m or 15.1%, as more focused international student growth strategies began to take effect.

Total internationals continue to rise in 2018 and 2019 but the rate of increase has dropped. The growth for 2018 was 10.6% falling back to 9.0% expected in 2019 and 7.7% budgeted for 2020.

POSTGRADUATE

The International postgraduate taught market was identified as an opportunity when the PGT programme in Business and Economics was launched some years ago. The sharp step up in international postgraduate taught numbers in 2017 saw continuing specialisation driven growth in that B&E programme combining for the first time with growth in Engineering and Science. Continuing growth in Engineering and the articulation agreements achieved in Science are seen as a good opportunities to expand on this success.

The postgraduate taught programme in Civil Engineering has more than tripled since 2016, driving international growth generally in the Faculty and dominating overall international PGT numbers to 2019.

The Global Studies programme in Arts alongside further growth in B&E are the other current 2019 contributors.

The 2020 budget for postgraduate taught is more subdued with slower expansion in the traditional Arts, B&E and Engineering based disciplines. Articulation agreements established by Science with major Chinese institutions dominate growth in 2020 and the years following. Almost half of the growth in numbers expected for 2020 comes through to Computer Science or Statistics reflecting the popular Data Science field. These articulation agreements are expected to have sporadic impacts both in



postgraduate taught and undergraduate in coming years. International postgraduate taught EFTS budgeted for 2020 total 1,611 and with this category having growth by 13% CAGR since 2015, it is the fastest growing.

UNDERGRADUATE

New undergraduates are a strong lead indicator, with growth indicating strength of numbers for a three to four year cycle. International growth at this level budgeted for 2020, is 108 EFTS to reach 1,144, the highest growth result since 2016.

These new undergraduate enrolments are primarily in Arts, Science and Business and Economics. Social Science enrolments combine with Global Studies to generate additional EFTS in Arts, while Computer Science and Statistic dominate in Science.

International fee revenue is budgeted to rise by \$21.0m to \$189.6m for 2020, following the growth of \$22.5m forecast in 2019. With the international fee growth rate at 12.7% CAGR over the 2015 to 2020 period far exceeding the rate of growth in domestic fees the two revenue streams converge at approximately \$190m in 2020.

Of the \$21.0m increase in international fee revenue expected in 2020, \$13.0m is a result of increasing numbers, just over \$6.7m reflects the cost driven changes to fee rates and the remaining \$1.2m is due to mix shifts.

Faculty Teaching Costs

**PEOPLE COSTS
ACADEMIC SALARIES**

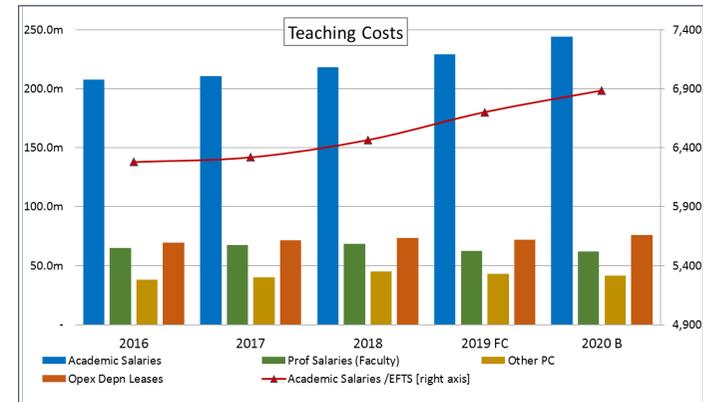
Academic salaries are the largest teaching cost and the most strategically important cost in terms of the link to teaching quality, research output and the student experience. To this end budget salary allocations are closely linked to benchmark student staff ratios, effectively as student numbers move so do staff numbers and associated salaries.

Overall domestic enrolments budgeted for 2020 are higher than the 2019 budget by 0.8%, although this represents growth over the current 2019 forecast of 623 EFTS or 2.2%. International numbers by contrast grow by 12.4% over the 2019 budget or 7.7% and 420 EFTS over the current forecast.

These domestic and international growth rates lead to an overall EFTS growth rate for 2020 of 3.3% and this is a direct driver of academic salary allocations. These EFTS movements are the most direct influence on faculty allocations and the overall University position.

The graph below details aggregate teaching costs by category on the left-hand scale and tracks academic salaries per EFTS on the right-hand scale.

In aggregate academic salaries rise by 4.9% from \$233.1m budgeted in 2019 to \$242.9m for 2020. This aggregate growth in salaries effectively is the result of the numerous contrasting movements in EFTS at the School or Department level combined with salary inflation and student staff ratio required



for these EFTS. Budgeted salaries per EFTS rise from \$6,786 to \$6,887 or 1.5%.

The movements by Faculty vary dramatically depending on their circumstances, with the polarisation of growth by Faculty and within Faculties continuing to influence. Some Faculties face falling student numbers, and the requirement to reduce costs, while others have had the numbers of unfunded students reduced, and so 'catch-up' budget allocations rise faster than the rise in student numbers.

A minority see student numbers growing faster than they expect to be able recruit staff. The challenge of recruitment in fast growing areas is clear also in 2019 and academic salary forecasts on the whole are short of budget, having a short-term positive impact on an otherwise tight financial position.

EDUCATION

Student numbers in Education have been dropping steadily for some years. In acknowledgement of the inability to reduce cost at the same pace as the EFTS contraction, transitional funding had been in place in recent budgets ahead of the formal cost restructure of 2018 and 2019. This restructure programme reduced staffing by over 20 FTE and had a material impact on salary costs.

Total academic salary costs fell by over \$2.0m between 2016 and 2020 a compound annual contraction rate of 2.7%, aligning with the 3.9% annual contraction rate of student numbers. The restructures have affected the ratio of fixed term appointments as compared to long term, with this ratio indicating a lower level of financial flexibility in staffing going forward.

MEDICAL AND HEALTH SCIENCE

The 2020 budget for Medical and Health Sciences (MHS) is anticipating strong growth in student numbers. Budgeted growth of 2.0% in EFTS was achieved in 2019 and 2020 anticipates a further 3.7%.

The raw EFTS growth combines with an increase in the numbers of postgraduate taught Nurses funded in 2020 to drive growth of academic salaries of \$2.9m or 5.5%. Recruitment in MHS has tended to lag behind growth in activity and MHS have long operated with a number of vacant positions. Given the vacancies currently forecast, the 2020 salary budget represents a jump of \$3.45m or 6.7% over current levels.

ARTS

Student numbers in Arts grew by 57 EFTS or 1.1% in 2019 as the stabilisation in domestic EFTS combined with a strong international enrolment. The expectation for 2020 is for further growth of 71.5 EFTS over the current level.

The growth is disproportionately in Cultures Languages and Linguistics while contractions continue elsewhere, making staffing decisions in the Faculty complex. Necessary expansion in staffing to meet new programme requirements has to be balanced by measured responses elsewhere.

The academic salary budget rises by \$1.3m or 4.2% over the 2019 budget in response to net student number movements and inflation. Arts operate with a number of unfilled vacancies and this allows some flexibility to deal with these competing needs. The 2020 academic salary budget represents a \$1.9m (6.6%) increase on the current 2019 forecast.

BUSINESS AND ECONOMICS

Business and Economics continue to experience growth in international students, including those for their tailored postgraduate taught programme and these assist in insulating the Faculty from an accelerating fall in domestic students.

With student numbers largely static in aggregate and some salary funding for the new specialisations in the postgraduate international programme front loaded, there is little baseline movement in academic salary budgets. Salaries per EFTS are little changed and once again 2019 savings that reflect the tight market for academics allows 2020 budget flexibility.

CREATIVE ARTS AND INDUSTRIES

Creative Arts launches the new Design programme with students commencing in 2020. This is expected

to bring in an additional 62 EFTS and associated academic salaries of 600k have been allowed for in the budget including a provision for initial programme development costs.

Despite these new students the Faculty's overall expected student population reflects only a moderate 0.9% increase as some of the traditional areas of Music and Fine Arts offset and face enrolment pressure. Even with the allowance for Design programme development costs the Faculty shows little growth in academic salaries.

Like Arts the competing demands of the new and expanding and the traditional static or falling disciplines is a challenge given the budget allocation responds only to the net student enrolment movement. Fine Arts no longer requires transitional funding provided previously to support sustained drops in students.

ENGINEERING

In Engineering the EFTS growth over the 2016 to 2019 period has been sizable averaging 5.9% annually. Academic salary budgets have moved in tandem, but the Faculty have struggled to recruit permanent academics at this pace. Less than half the \$3.3m rise in academics salaries over this period has resulted from securing long term roles, with fixed term and casual costs rising from \$3.6m to \$5.4m. As a percentage fixed term salary costs jumped from 16.1% in 2016 to 24.0% in 2019.

For 2020 EFTS rise by 2.8%, more slowly than in previous years, yet their academic salary costs are expected to rise by \$1.05m or 4.9% including inflation. Although the budget is set with a more ideal mix of staff contract types including 13.5% fixed term, continuing recruitment pressure for permanent roles in globally growing disciplines is likely to remain

SCIENCE

Science is expecting large growth in student numbers for 2020 and the 5.3% rise in EFTS mirrors the movement in academic salaries plus inflation. The salary budget rises in alignment by over \$3.8m or 7.2% but with costs per EFTS only rising by 1.8% to just over 6,500 per EFTS primarily just reflecting salary inflation.

The dual strategies of international articulation agreements and a focus on Data Science have contributed to material growth in students in Science, recently and in coming years. The 2020 budget incorporates some of the resource implications of these strategies for the first time. The Data Science strategy calls for an intensification of the teaching of these programmes and the student staff ratios in

affected departments are budgeted to drop over a period accordingly. In addition provision has been made in Science's 2020 budget for an up-front offshore teaching requirement. Ahead of the arrival of new articulation agreement students, the University is required to teach a series of block programmes at the partner institutions.

While the net growth in both students and salary allocations in Science is impressive, they also have a mix of results by discipline. Some departments do face challenging enrolment conditions and so Science is not immune from the trade-offs that generates.

OVERVIEW

Total academic salaries rise to \$242.9m in the 2020 budget climbing \$11.2m or 4.8%. The rate of salary cost increases has been rising in recent years reflecting rising activity more than salary increment movements.

The 2019 forecast rises over 2018 by \$7.2m or 3.3% but this includes a small reclassification in Science. Prior to this, salaries rose by 1.4% in 2017 and 4.0% in 2018, moving broadly in line with the changing EFTS fortunes.

Over the 2016 to 2020 period academic salaries moved with a CAGR of 4.1% and this compares with the EFTS movement of 1.7%. Importantly total teaching revenues have risen by rates consistently higher than academic salaries.

Measuring the rise of academic salaries from the current forecast to the 2020 budget allocation provides a more realistic base from which to understand the 2020 position. The degree to which savings have been achieved against the 2019 academic salary budget will influence the likely actual spending pattern and budget flexibility in 2020. For the full 2020 academic salary budget to be spent, costs would have to rise over those currently forecast by \$16.3m or 7.1%.

Setting budgets on the basis of student staff ratios assumes that staffing to meet rising EFTS can be secured from the beginning of each year. This rarely happens and leads to academic salary savings that build in some additional flexibility which can be used to counter any unexpected rising costs elsewhere.

Professional Salaries

A series of initiatives have a material impact on professional salary levels in Faculties, with the 2020 budget being the first full year effect of these changes.

The budget for 2020 shows professional salary costs in teaching decreasing in aggregate by \$6.7m or 9.6% over last year's budget. This drop is mostly the result of two function reviews in which Faculty costs have been transferred to specialist Service Divisions, but the restructuring of technical service teams also impacts costs.

The Digital Services and Finance Function Reviews have seen many roles migrate from Faculties into their respective central Service Divisions. The local Faculty IT support teams have transferred to Digital Services reducing the Faculty budgets by \$5.9m. The Finance Function Review also sees transactional, technical and analytical roles consolidated into the centre to provide efficiencies and increase standardised service support. This has reduced the Faculties teaching budgets by a further \$2.4m.

In 2019, the third phase of the Improving Research Support (IRIS) project carried out a technical structure review in which multiple different technical staff models were standardised into a single model in each Faculty. This had the goal of improving the level of service supplied to research academics and centres and in many cases led to new technical management roles and some upskilling and centralisation of other technical roles.

The review involved the internal shift of a majority of technical staff under a Technical Services Manager (TSM) reporting to the Director of Faculty Operations (DFO). Much of this transfer was cost neutral but in some Faculties new TSM roles were created, some roles were resized and an existing unit in MHS was budgeted in T&R for the first time. These changes lead to incremental costs of \$1.06m in 2020.

After considering the centralisation transfers and the incremental technical staff there are few movements in professional staff salary costs aside from inflation.

Creative Arts and Industries has some additional resource to accommodate the creation of the new Design School.

Business and Economics sees a decrease in professional salaries as the Learning and Teaching team combine with the central University team. The Faculty also reduces professional salaries in the Centre for Innovation and Entrepreneurship to support the Unleash Space.

Other People Costs

Other salary related costs which include superannuation, ACC, and leave, move in line with salary levels as expected.

Contracts-for-service staff costs increases slightly into 2020, up by 6.7%. For the most part this results from growth in Nursing and General Practice contract support in Medical and Health Sciences.

Other people costs such as staff prizes, staff training, staff catering, and temporary agency staff move in line with staffing movements into 2020.

Operating Costs

Operating costs (opex) budgets have tended to move much more slowly than the scale of teaching activities, often with savings achieved directed back into higher value expenditure such as academic salaries.

Operating costs in 2019 are forecast to exceed the 2019 budget with cost pressures indicated in scholarships, travel and laboratory consumables. The 2020 budget is however established from the 2019 budget baseline, flexing from this level for known movements and activity level adjustments. The resulting \$39.4m 2020 opex budget falls from the current forecast level by \$1.0m or 2.6%.

The primary cost category rising significantly in 2020 is international recruitment agent commission expenses, which increase by 21.9% or \$1.5m in 2020. Commission rates, student volumes and the percentage of students enrolling via agencies drive the associated expense increase. Use of agents is a deliberate strategy by the University to attract and grow international student numbers. The commission cost has risen dramatically in recent years but at just over 4% of international fees the spend relative to activity levels is lower than many of our competitor New Zealand institutions.

The overall commission and fees expense category represents an 8.4% increase in budgeted cost per international student in 2020. The increase is evident in Arts, Engineering, Law and Science, all faculties benefiting most from international student number increases.

As with previous years some operating cost categories remain fixed including Advertising, Conferences, and Hospitality which are held at 2019 budget levels. Travel expenditure however was subject to an across the board reduction in response to the high environmental impact of this expenditure and the difficult overall budget position.

Additional funding has been allocated to the Business School and Creative Arts and Industries for marketing in the PGT programme and the new Design School. The remaining categories are assumed to move from the 2019 budget in line with movements in student numbers. Given the student numbers are moving only slowly for 2020 the majority of opex categories rise by less than 1%.

Rises in Prizes and Scholarships enable growth in student numbers, especially the postgraduates necessary in the Large Scale Research Institutes. The Liggins Institute plans to increase offers of its one-year doctoral scholarships for International students who are not eligible for University scholarships. These students make up a large proportion of their PhD cohort and reflect a growing investment in doctoral students.

Teaching Overview

Ensuring that contributions from teaching activities continue to rise is a key objective and forms an element of the financial framework set out in long term financial plans.

This rising contribution is required to ensure we can sustainably achieve infrastructural and strategic objectives. These rising teaching contributions are both enabled by and required in support of the incremental costs associated with providing fit for purpose academic spaces.

Low indexation in TEC funding is an impediment to this objective and growth in full fee paying international students is an enabler. Over time international EFTS have grown to become more important in the revenue mix.

Over the 2016 to 2020 period SAC funding and fees associated with domestic students have grown by approximately \$45m or 2.2% CAGR. This growth is associated with little net growth in students but a significant shift in mix toward more resource intensive STEM and postgraduate students. Over the same period international EFTS have grown by 9.9% CAGR, leading to international fee revenue rising by 14.2% CAGR. Leveraging the rising international revenues and the associated margins is one of few ways to deliver rising contribution in support of general University financial objectives.

Contribution-before-occupancy costs rising faster than revenue is effectively the measure of this leverage.

The overall contribution from teaching activities before occupancy has been rising incrementally between 2015 and 2018 lead by rising activity including international enrolments in Business and Economics,

Engineering and Science. The contribution result for 2019 continues to be impacted positively by the same factors, but the centralisation of IT and Finance staff materially adds to the contributions.

The 2020 teaching-contribution-before-occupancy including internal charges (pre consolidation entries) reaches \$413.9m, an \$18.0m rise over the current forecast. This incremental contribution is delivered from incremental revenue of \$35.5m, of which \$21.0m is incremental international fees.

This significant marginal contribution is a critical enabler of wider strategies. The contribution rate grows from 49.3% in the 2019 forecast and just 46.9% in 2016 to 49.4% budgeted for 2020. The centralisation of IT and finance staff shed approximately \$8.2m from Faculty budget representing 1.0% contribution percentage points.

Over the 2016 to 2020 period growth in international fees of \$78.5m (14.2% CAGR) comprised over half the total teaching revenue growth of \$122.6m (4.0%

CAGR). Incremental teaching-costs-before-occupancy over the same period grew by \$43.9m (2.8% CAGR), indicating the marginal contribution rate has grown alongside international fees.

The now completed cost resizing exercise in Education drives up their contribution rate and over the medium term this is expected to reach 40%. The front loading of preliminary costs for the new Design Programme in Creative Arts temporarily adversely affects their contribution rate.

The previously front loaded costs provided for the International PGT programme in Business and Economics allows revenue to now grow disproportionately to expenses, having a strong positive impact on contributions and contribution rates. Rapid expansion of student numbers in Science enables a sound growth in raw contribution and on a percentage basis.

These slowly rising contribution rates align with long term financial plans.



Research and Consulting and Service Activities

Research and contracting revenue in aggregate looks to continue the steady upward trend, although with the rate of growth slowing.

In total research revenue is budgeted in 2020 to rise to just short of \$300m, and this \$6.5m or 2.2% increment compares with growth of between 3.6% and 8.8% over the 2017 to 2019 period. The 2018 result represented a step change in the levels of activity, rising by \$22.8m in total but by \$24.3m or 20.6% in the strategically important Public Good arena. Growth continues after 2018 but at a much slower pace. The forecast level of activity for 2019 pleasingly surpasses the conservative 2019 budget.

Public Good research in Faculties rises by \$7.7m in 2020, contributing to growth of over \$40.9m over the 2017 to 2020 period and 60% of this growth occurred in 2018.

The traditional contestable Public Good grants of Ministry of Business, Innovation and Employment (MBIE), Health Research Council (HRC) and the Marsden Fund have naturally always dominated Public Good research. In 2017 revenue from these 'big three' funders comprised \$72.0m or 61.1% of the University's Public Good total. This percentage rises only fractionally to 62.1% (\$98.7m) in 2020, indicating that other Public Good funding sources are rising at a similar pace over this period.

Revenues from the 'big three' have risen by \$26.7m between 2017 and 2020, generating compound annual growth of over 11%, including 17.5% CAGR from the MBIE fund.

A sizable increase in the national funding pools was announced in 2016 resulting in the Marsden Fund and HRC funds both rising by approximately 50% over four years, with MBIE funding pool rising by 25%. In aggregate the pools from these three big Public Good funders will grow by 7.9% CAGR between 2016 and 2020.

The University's growth rate is higher than the national pool growth indicating an increasing market share in these funds. This is especially true for the MBIE fund where our 17.5% CAGR easily surpasses the funds growth at 5.5% CAGR. The University's HRC growth is not so favourable at 7.4% CAGR between 2017 and 2020 compared to the fund that grew by 11.5%.

Other Public Good funding has come from Foundations, non-hosted CoRE subcontracts and other sources. Growing non-traditional funding

Research	2015	2016	2017	2018	2019	2019	2020
\$'000 Revenue	Actual	Actual	Actual	Actual	Forecast	Budget	Budget
Faculty Public Good	100,114	110,309	117,922	142,264	151,141	142,966	158,849
Commercial (ex AUL)				23,991	38,862	29,030	35,132
	100,114	110,309	117,922	166,255	190,003	171,996	193,981
NRC (CoRES/NSC+)	32,852	32,798	46,969	40,603	41,461	42,925	42,277
University Total	132,966	143,107	164,891	206,858	231,464	214,921	236,258
UniServices	119,909	106,976	95,426	70,317	61,896	62,531	63,595
Gross Revenue	252,875	250,083	260,317	277,175	293,360	277,451	299,853

sources has been instrumental in overall Public Good growth and National Institute of Health (NIH) and funding through the Entrepreneurial Universities (EU) programme have dominated. Between 2017 and 2020 funding from these other sources grew by \$12.6m, with EU contributing \$7.6m in 2020 and the NIH \$5.3m.

The National Research Collaborations (NRC) include the Centres of Research Excellence, the National Science Challenges (NSC) and the National eScience Infrastructure (NeSI). Research activity in these collaborations for 2020 are expected to be similar to 2019 forecast and budget levels. The CoREs conclude their current contracts at the end of 2020 and a rebidding process is underway.

The 2019 results are the first full year of post Improving Research Support (IRiS) changes. These changes resulted in a transfer of commercial research activity from UniServices to the University and some downsizing of unprofitable contracted Education Support activities administered by UniServices. UniServices revenue sees a slight increase in 2020 after the continued decline in the previous years, with the 2020 budget reflecting the challenging conditions, transfers, and restructured activities.

Faculty Research

Research by Faculty continues to grow in total lead by expansion in Engineering and BioEngineering. The large research Faculties of Medical and Health Sciences and Science expect to operate at similar levels to 2019, although with some minor contractions in activity in part reflecting the 2020 conclusion of subcontracts to both hosted and non-hosted CoREs.

Business and Economics, Creative Arts and Education have all had success in the recent past and contributed to the diversity of the research revenue, but all have small numbers of grants. This results in revenue variability and each of these Faculties expect modest decreases in funded research activity in 2020.

The 2019 budget was set conservatively and the majority of Faculties are now expecting to both grow from 2018 and to exceed budget. In part this growth at the Faculty level reflects changed accounting treatment of CoRE subcontracts.

Faculty EFR detailed in the table above now includes internal subcontracts from the MedTECH, MWC and Brain CoRES. These were formerly accounted for alongside the CoRE head contracts rather than in the Faculties where this subcontracted research takes place.

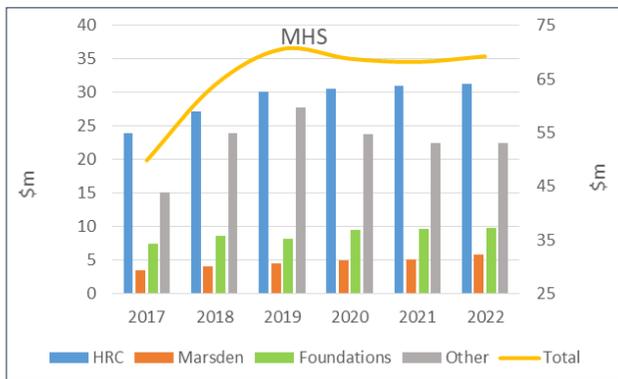
This change in treatment in 2019 has the effect of increasing the gross research revenue associated with Science, MHS and ABI by almost \$10m to better indicate the levels of activity conducted by these researchers using Faculty infrastructure. Naturally the adjustment for internal transactions also rises in tandem, leaving net external research revenue unaffected by the change in reporting treatment.

MEDICAL AND HEALTH SCIENCES

Medical and Health Sciences continues to grow revenues from contestable Public Good funders, with revenues from the 'big three' funders rising by almost \$1.0m in 2020. HRC, MBIE and Marsden outputs are all expected to rise, but with HRC growing in importance.

Over the 2017 to 2020 period HRC revenue will have grown by \$6.6m or 8.4% CAGR. This growth rate is lower than the 11.5% growth in the HRC funding pool reflecting the competition from Otago, who had a strong awards round in 2019, but also internal competition from Liggins, Bio-Engineering and Science.

Faculties excluding NRC	2015	2016	2017	2018	2019	2019	2020
\$'000 Revenue	Actual	Actual	Actual	Actual	Forecast	Budget	Budget
Arts	3,189	4,075	4,593	6,599	6,857	6,089	6,484
Business & Economics	1,147	1,636	2,572	2,944	2,200	2,004	2,067
Creative Arts & Industries	126	254	1,197	1,260	1,051	881	156
Education	2,300	1,712	2,132	3,014	3,874	3,600	3,006
Engineering	13,099	13,094	14,719	23,592	29,504	25,688	32,288
Law	253	386	458	580	475	584	463
Medical & Health Sciences	43,040	46,658	49,819	63,793	70,576	61,447	68,767
Science	30,859	34,426	34,574	48,958	60,957	50,199	59,708
Liggins Institute	8,363	5,323	7,442	9,713	10,902	12,253	10,922
Bioengineering Institute	6,773	7,057	7,229	15,312	22,718	17,455	23,785
Other	535	480	331	302	287	97	303
Internal transactions	(9,569)	(4,790)	(7,145)	(9,813)	(19,398)	(8,302)	(13,967)
	100,114	110,309	117,922	166,255	190,003	171,996	193,981



Falling levels of expected activity from both internal and external subcontracts to CoREs offsets the slowing growth from contestable Public Good funders in 2020. Given the CoRE contracts nationally conclude in 2020, this subcontract work is just the completion of existing work streams.

The research budget for the Faculty of Medical and Health Sciences was set conservatively for 2019. At just \$61.4m it did not reflect the momentum that built up in the latter part of 2018. More than two years of good HRC award results formed part of this rise in activity in 2018 and this carries through into 2019 and 2020.

The graph details the research revenue by funder across the 2017 to 2022 period. Revenue grows by \$19m from 2017 to 2020, with HRC successes the primary driver after taking into consideration the \$8m in commercial contracts that were transferred from UniServices.

The HRC makes up a significant amount of the growth and given the majority of the remaining work is charitable, the Faculty is highly reliant on the HRC for overhead recoveries.

SCIENCE

Science expect research revenue to consolidate in 2020 after the significant growth of 2018 and 2019. The 2020 budget, including CoRE subcontracts and commercial work, drops fractionally to \$59.7m, about \$1.2m lower than the 2019 forecast.

Like MHS, Science are expecting continued growth from the 'big three' Public Good funders and research revenue from these sources is expected to rise by almost \$2.1m. Over the 2017 to 2020 period revenue from the Marsden fund is relatively stable

rising by just 2.6% CAGR. This represents a falling market share from this fund for the Faculty.

MBIE grant success has underpinned growth in the Faculty over the 2017 to 2020 period, and the \$6.0m growth in MBIE funded grants represents a material rise in market share. Science research is much more diverse than Engineering or MHS, with both Marsden and MBIE the mainstays. This is supplemented by growth in HRC awards and subcontracts from other Universities.

Falling levels of subcontracts offset the above growth.

Science has grown at a similar rate to total University research and over the last five years it has contributed around 30% of that total.

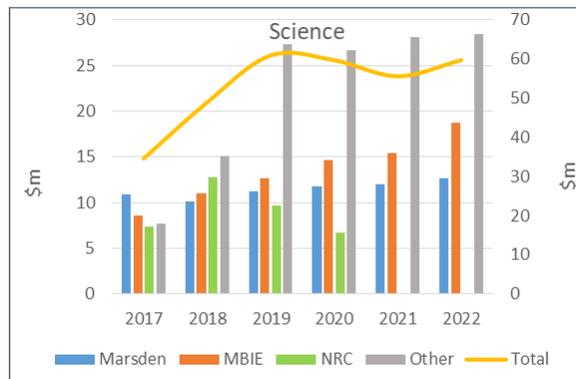
Public Good revenue has grown by \$11.4m or 10.1% CAGR between 2017 and 2020, or by \$25.4m (20.4%) if the transfer of commercial work from UniServices is included. MBIE successes make up a lot of this growth.

ENGINEERING

Engineering continues an impressive research growth path that has seen a threefold aggregate increase from 2014 and growth in Public Good research revenue of \$7.5m over the 2017 to 2020 period.

Growth in research was most pronounced in 2018 when a \$2.5m step change in MBIE revenues combined with the transfers of commercial activity. Since 2018 growth has been derived by success in the Marsden fund, where a \$900k increment is forecast in 2019 but more importantly via the Entrepreneurial Universities (EU) grants.

Unlike Science or MHS, Engineering has a relatively small number of large grants, exposing them to



potential variability if the timing of new grants and concluding grants don't mesh. The conclusion of some very large MBIE grants in the 2018 and 2019 period has fortunately been replaced with an MBIE research programme worth \$16.8m spread over 5 years, and two Smart Idea grants at \$1m each over 3 years. This ensures that MBIE outputs remain steady.

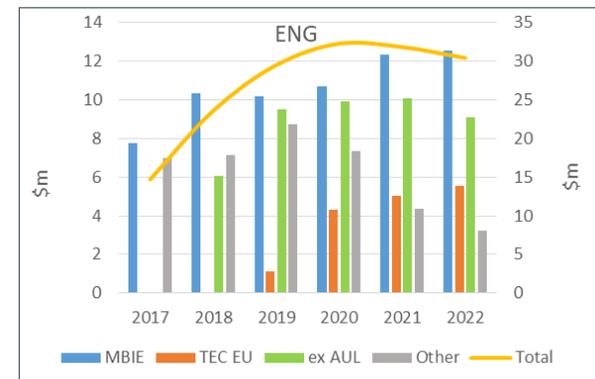
Engineering has been awarded two EU grants with the first 'Additive Technology' commencing in 2019 and the second 'Space' in 2020. These two EU grants dominate recent growth in the Faculty and they generate almost \$4.3m in 2020. Given the EU grants are jointly funded between the TEC and the University the overhead recoveries for them are funded internally. Significant capital funding has been provided by TEC.

The graph details the Engineering research revenue by funder across the 2017 to 2022 period. From 2017 to 2020 revenue grows by \$17.5m or 29.6% CAGR, with success in the MBIE awards, EU grants and commercial projects contributing to the increase in total revenue.

BIOENGINEERING

The Auckland Bioengineering Institute (ABI) has had a very rapid increase in research revenues between 2017 and 2019 and the 2020 budget anticipates a stabilisation, with only modest growth. Total research revenue is expected to reach \$23.7m in 2020 up from \$22.7m forecast in 2019, but only \$7.2m in 2017.

This rapid expansion since 2017 reflects both growing success in the contestable Public Good funding rounds, especially MBIE and Marsden, coupled with success in more diverse funding sources. Three quarters of the growth from 2017



comes from just four sources. Revenue from MBIE and Marsden grants rises by \$3.8m as ABI expand their market share since 2017. ABI also been the recipient of two EU grants that contribute to the step change in activity levels.

LIGGINS

The Liggins Institute has projected a similar level for 2020 as the current forecast of \$10.9m is slightly down on the ambitious budget for 2019. Liggins relies increasingly more on growth in HRC and other Public Good pools.

OTHER

The Arts Faculty's success continues from last year due in part to a better than expected 2017 Marsden result. The 2019 result reflects a material Templeton grant activated with the arrival of new staff in early 2018. Pipelining growth in these newly awarded grants offsets The New Zealand Institute of Pacific Research funding which concluded earlier in 2019. The growth in Arts research reflects a small number of large grants and retaining this level of activity after 2021 will be assisted by the recently announced successes in the 2019 Marsden awards.

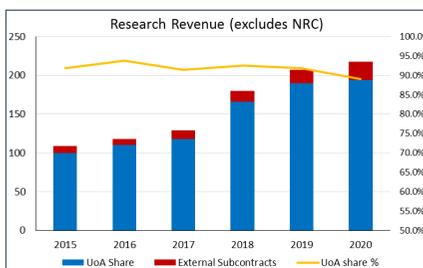
Education has a small number of larger grants including the \$3m Manaiaakalani project and a number of new philanthropically-funded research projects. The revenue increment forecasted reflects increased activity levels in existing grants rather than new wins.

External Subcontracts

Research is increasingly collaborative in nature. These collaborations are generally established via subcontracts and the level of external subcontracting can obscure the actual level of research activity undertaken by the University if the focus is on external gross revenue.

The levels of subcontracting varies materially by faculty with Engineering most prevalent. The table details the levels of external subcontracting occurring, excluding NRCs.

The increase in subcontracts is mainly in Engineering and Medical and Health Sciences with a jump also evident in Bioengineering Institute.



Overhead Recoveries

Overhead recoveries are a key source of funding that supports both research labs, space and infrastructure, but also the enabling research support staff across pre-award, post-award and in direct support of research efforts.

Overhead recoveries have a material and direct impact on University finances. Cost pressures in Property Services are in part driven by the expensive intensive specialised spaces in Engineering, the Science Centre, Newmarket Campus, and at the Medical School, which enable research. Overhead recoveries are intended to cover these property related costs among other infrastructural, service and management costs.

Overhead recoveries stabilise in 2020 after a step change in 2018 primarily reflecting the growth in research activity and as a result of the research projects that were transferred from UniServices.

Overhead recoveries are heavily reliant on the "Big Three" with recoveries from MBIE, HRC and Marsden dominating at over 70% of Public Good overhead recoveries. The "Big 3" overheads whilst growing in real terms are growing at a slower pace than revenue

Faculties Subcontracts	2015	2016	2017	2018	2019	2019	2020
\$000 Revenue	Actual	Actual	Actual	Actual	Forecast	Budget	Budget
Faculties Revenue (excl NRC)	100,114	110,309	117,922	166,255	190,003	171,996	193,981
Less Subcontracts	8,944	7,237	11,045	13,526	16,979	13,059	23,865
	91,169	103,072	106,876	152,729	173,024	158,936	170,116
Subcontracts/ Revenue	8.9%	6.6%	9.4%	8.1%	8.9%	7.6%	12.3%
Engineering	34.9%	15.5%	19.4%	14.8%	21.3%	21.3%	27.1%
Medical & Health Sciences	3.0%	2.8%	3.4%	3.1%	3.3%	0.3%	7.3%
Science	6.2%	9.2%	11.9%	9.7%	6.8%	8.3%	9.0%
Bioengineering Institute	0.2%	0.1%	0.1%	2.9%	8.8%	10.8%	12.8%

and this is explained by the increase in subcontracting that is the nature of the large grants such as MBIE's. The majority of overhead recoveries are derived from Public Good research grants as traditionally these grants have sought to provide full cost funding via the overhead recovery mechanism. Grants from charitable or off-shore sources have generally provided recoveries at much lower levels.

The current tranche of COREs are coming to an end in 2020 and this naturally sees the overhead recoveries from these drop.

Entrepreneurial University projects generate overhead recoveries at rates similar to other Public Good grants and Engineering and BioEngineering are the recipients of these recoveries. As overheads form part of the

Overhead Recoveries	2015	2016	2017	2018	2019	2019	2020
\$000 Revenue	Actual	Actual	Actual	Actual	Forecast	Budget	Budget
Engineering	2,033	2,636	3,089	5,804	6,355	5,116	7,958
Medical & Health Sciences	8,568	8,946	9,295	13,710	15,503	13,519	14,120
Science	8,679	8,942	8,173	14,028	16,558	13,239	15,900
Other Faculties	5,986	5,707	6,156	9,187	9,572	8,941	9,428
Total Faculties	25,266	26,231	26,712	42,729	47,988	40,816	47,406
CoRE	4,621	4,644	4,399	4,490	1,800	4,965	1,674
NSC	405	743	706	736	793	724	844
NeSI	727	807	823	846	1,006	886	1,176
Recoveries from UoA Research	31,019	32,425	32,639	48,801	51,586	47,392	51,100
UniServices Overheads	6,853	6,887	7,486	4,644	855	265	502
	37,872	39,311	40,125	53,445	52,442	47,657	51,602
Engineering	15.5%	20.1%	21.0%	24.6%	21.5%	19.9%	24.6%
Medical & Health Sciences	19.9%	19.2%	18.7%	21.5%	22.0%	22.0%	20.5%
Science	28.1%	26.0%	23.6%	28.7%	27.2%	26.4%	26.6%
Other Faculties	27.0%	27.9%	24.0%	23.3%	19.9%	20.9%	20.1%
Total Faculties	25.2%	23.8%	22.7%	25.7%	25.3%	23.7%	24.4%

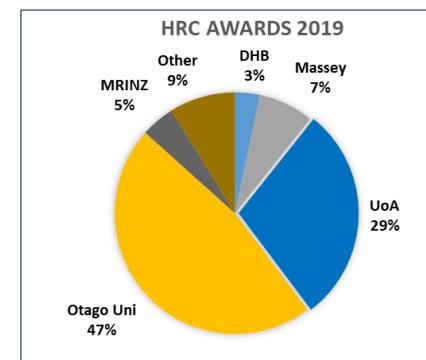
University's contribution to the jointly funded EUs, these overhead recoveries are internal only, not representing a new external fund source.

As the research revenue growth objectives are sought from more diverse pools including offshore research and collaborations with international universities it is expected that the rate of overhead recoveries will slip slightly as compared to revenues.

Contestable Funds Health Research Council

The University's successes in the Health Research Council (HRC) funding round was announced in June with University of Auckland winning 29% or \$29m out of a total of \$99m. (2018: \$43m 46%, 2017: \$35m, 42%).

The awards are highly variable year on year and appear to be somewhat cyclical in nature. In 2015 the University received 27% of the total fund and this has grown steadily reaching 46% in 2018 before dropping to 29%. The expansion of awards to other Universities such as Otago is more apparent in the 2016 to 2019 period.



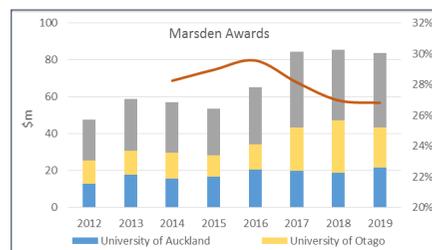
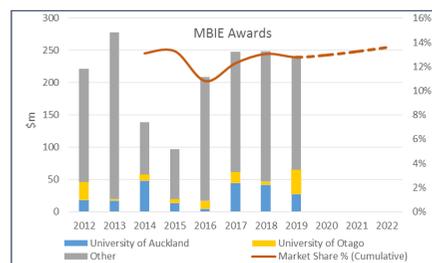
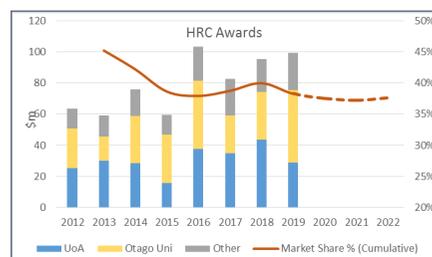
As expected a significant share of the HRC grants were awarded to the Faculty of Medical and Health Sciences. FMHS received grants of \$22.0m and \$6.8m was awarded to Liggins.

Ministry of Business Innovation and Employment

The MBIE Endeavour round was announced in September with the University awarded \$27m out of the \$240m national total. Projects awarded this year will investigate water quality, plastics recycling and developing new technologies to mitigate effects of cancer therapy. The award value was significantly down on the \$41m won in 2018.

The University won 10 grants out of a total of 78 that were applied for, a 12.8% success rate. This compares to Otago University who won 12 out of 37 (32.4% success rate) and Canterbury University who won 3 out of 36 (8.3% success rate).

Science won grants with a combined value of \$15m and FMHS won \$5m, with \$1m each to Education, Liggins, ABI and Engineering. Much of the financial impact will commence from 2019 and budgets have been set accordingly. The University's market share of the MBIE Endeavour fund was around 17% for 2017 and 2018 but has fallen to 11% in 2019. This reflects the competition with CRIs and industry and other universities.



Marsden

The Marsden Fund results for 2019 were just recently announced and these successes will have the most impact beyond 2020. The 2020 budget was established with reference to historical success rates.

The 2019 result sees the University awarded \$22m out of \$84m being 26% of the total compared to \$19m (22%) in 2018 and \$20m (23%) in 2017. The Universities of Victoria and Otago also had rising success.

National Research Collaborations (NRC)

Centre of Research Excellence (CoRE)

The contract funding round for the current CoREs ends on 31 December 2020. The TEC have made it clear that any unspent funds at the end of the term will need to be returned, even if the project is in flight and commitments are outstanding. Research activity in the CoREs for 2020 is predicated on the basis that all remaining monies will be spent.

Centres of Research Excellence are inter-institutional research networks, with researchers working together on commonly agreed work programmes. The highly collaborative nature results in much of the work being subcontracted.

In 2020 the University of Auckland share of the head contract revenue is 62%, rising over the 2019 budget and forecast.

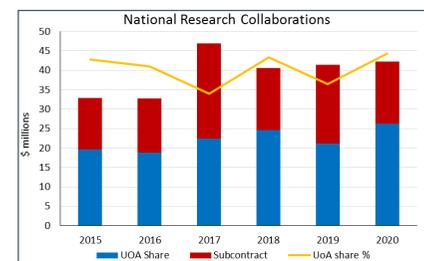
The table below shows the Head Contracts before external subcontracts so is not an indication of the research undertaken by the University of Auckland.

The graph shows the head contract for CoRE, NSC and NeSI compared to the University of Auckland's share. This indicates the changed and more collaborative environment that now exists. The University of Auckland share of the head contract revenue rose from 2014 to 2018 but levels off in 2019 due mainly to Brain Research and the NSC's.

Nga Pae o te Maramatanga is hosted by Arts and was funded \$2.5m over its 5 year term. The University of Auckland will conduct 42% of the total research in 2020 compared to forecast of 34% for 2019.

Science hosts Complex Systems – Te Punaha Matatini (TPM) and Molecular Biodiversity Maurice Wilkins Centre (MWC). MWC is the largest CORE and represents a third of total CoRE revenue. The University will undertake 57% of the head contract research for both COREs.

The head contract for the Brain Research CoRE has been administered from Otago University since 2018. This results in a number of formerly internal



subcontracted grants transferring as external subcontracts to Otago.

The University also contributes to four other CoREs:

- The Dodd-Walls Centre for Photonic and Quantum Technologies, hosted by the University of Otago
- MacDiarmid Institute for Advanced Materials and Nanotechnology, hosted by Victoria University
- QuakeCore: Centre for Earthquake Resilience, hosted by University of Canterbury
- Riddet Institute, hosted by Massey University

The revenue associated with these contributions is not reported in the above CoRE analysis, rather it is included with all other public good research.

The new round of funding for the CoREs will be announced in mid-2020 with funding commencing in 2021. The outcome is uncertain but whether or not the university wins the bid to host the CoREs there still should be some opportunities via subcontracts.

NRC	Revenue \$000	2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Arts	Nga Pae CoRE	4,926	2,745	4,960	5,511	6,307	5,899	6,563
MHS	Brain CoRE	2,787	5,425	4,776	2,926	608	3,082	46
Science	MWC CoRE	4,550	7,002	7,868	6,957	8,690	8,105	7,636
Science	TPM CoRE	1,753	1,987	2,112	2,252	2,194	2,547	2,492
ABI	MedTech CoRE	2,667	3,414	4,043	3,628	4,386	4,467	4,068
Liggins	Gravida CoRE	6,661	12	-	-	-	-	-
Liggins	ABS NSC	-	1,417	5,543	4,678	3,155	4,415	4,100
Liggins	HVN NSC	1,693	8,023	7,072	8,724	8,938	7,351	10,640
University	NeSI	7,815	2,773	10,594	5,927	7,182	7,058	6,732
		32,852	32,798	46,969	40,603	41,461	42,925	42,277
Less ext	subcontracts	13,187	13,992	24,616	16,005	20,286	18,711	16,071
Local	research	19,665	18,805	22,353	24,598	21,175	24,214	26,206
		60%	57%	48%	61%	51%	56%	62%

National Science Challenges (NSC)

Both the National Science Challenges - Higher Value Nutrition (HVN) and A Better Start (ABS) programmes are hosted by the Liggins Institute and have complex structures and involve numerous collaborating partners. Funding for both of the NSCs is provided by MBIE and has been renewed with Tranche II of the funding commencing in July 2019.

For Higher Value Nutrition this has meant an immediate increase in activity with the University conducting nearly 40% of the work, but for A Better Start (ABS) the contracts are not yet in place due to the extensive collaborative nature of the model so activity will be at a slower rate.

National eScience Infrastructure (NeSI)

The National eScience Infrastructure project is an MBIE funded initiative associated with research and IT infrastructure hosted by the University of Auckland. The purchase of some IT infrastructure as part of this project was delayed until 2018. The project has been extended for one year although with conditions requiring funding repayment if scheduled progress is not made.

UniServices

The 2020 budget year should represent more stable operations after the significant changes brought about under the new model and structure post IRiS. These changes were complex and included the transfer of a material portion of research and consulting work to the University, the resizing of some existing activities to improve profitability, and importantly new responsibility over pre award activities across all research and consulting revenue streams. UniServices has also restructured internally in response to changing conditions.

The emphasis continues to be on ways to grow both public and private research opportunities. Identifying, growing, and securing, new opportunities is a core objective and specialisation of UniServices, leaving the resourcing, conducting, and reporting of research to Faculties and the University.

UniServices	2015	2016	2017	2018	2019	2019	2020
\$000 Revenue	Actual	Actual	Actual	Actual	Forecast	Budget	Budget
(Research) Consulting and Service contracting (NZ)	78,638	77,603	61,055	58,559	48,844	52,226	53,195
Strategic Growth	35,158	25,602	28,767	7,000	4,592	5,349	3,989
Commercialisation	5,927	3,614	4,984	4,556	5,733	4,540	5,789
Other	187	158	620	203	2,728	416	622
	119,909	106,976	95,426	70,317	61,896	62,531	63,595
Agency				5,951	8,933	8,012	8,927
	119,909	106,976	95,426	76,268	70,829	70,543	72,522

The table below details how revenues are responding to the changed business model.

Research and consulting work had been trending downward reflecting the difficult environment. The figures from 2018 reflect the transfer of research activity to the University leaving a portfolio of consulting and service business units including the English Language Academy, Future Learning Solutions (education sector contract work), Light Metals Research Centre (LMRC) and various health-related initiatives.

For 2020 aggregate revenue grows fractionally, despite International and Strategic revenue declining

as international service delivery projects complete, this is offset by growth in some of the Business Units partially netted off by the closure of the LMRC at the end of 2019.

The table below shows UniServices 2019 Forecast and 2020 Budget by Business Sector:

Agency Revenue reflects the responsibilities UniServices assumes under the new business development model for securing new research contracts.

The UniServices Business Units are subject to a number of changes in both the scale of their activities as well as their mix of direct and indirect costs,

UniServices 2019 Forecast 2020 Budget \$000s	Commercialisation		China & International/ Strategic Growth		Agency		Business Units		Other/ Head Office		Total	
	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020
Revenue	5,009	5,789	5,395	4,247	8,933	8,927	50,828	53,195	664	364	70,829	72,522
Directs costs	4,682	4,941	4,111	3,524	-	-	29,494	31,573	326	319	38,613	40,357
Other	-	-	-	-	-	-	13,809	12,646	-	-	13,809	12,646
Gross	327	848	1,284	723	8,933	8,927	7,525	8,976	338	45	18,407	19,519
%	7%	15%	24%	17%	100%	100%	15%	17%	51%	12%	26%	27%
Indirect costs	117	166	1,047	638	4,879	5,267	-	-	9,888	10,084	15,931	16,155
Net	210	682	237	85	4,054	3,660	7,525	8,976	(9,550)	(10,039)	2,476	3,364
Other income	1,388	1,290	95	81	-	-	-	-	196	-	1,679	1,371
Other expenses	1,320	1,290	25	-	1,170	1,300	-	-	2,074	-	4,589	2,590
Allocation	444	454	975	817	2,430	2,360	5,872	6,455	(9,721)	(10,086)	-	-
Surplus	(166)	228	(668)	(651)	454	-	1,653	2,521	(1,707)	47	(434)	2,145

although overall revenue is expected to rise by almost \$4.4m and generate additional operating margin. The largest of these are the Future Learning Solutions and the English Language Academy and these expect to operate at similar levels as currently forecast.

The most significant growth in revenue occurs with the Growing Up in New Zealand longitudinal study where activity levels are expected to rise by \$2.4m.

A number of international service delivery contracts are concluding in 2020, with projects such as NIPPeR nearing completion. These drive the contraction of revenue expected for the Strategic Growth or International area.

Overall UniServices expect to generate a net surplus of \$2.145m or 2.95% of Business and Agency revenues.

Strategic Investments

SCHOLARSHIPS

The Scholarship portfolio was subject to a series of changes to the undergraduate, sub-doctoral and doctoral offerings in the past few years to bring these into line with those being offered by other universities in New Zealand and Australia.

It was expected that the new offerings would reach an equilibrium in 2019 and 2020 as old award schemes fell away, replaced by the new awards and this would result in a stabilisation of costs.

The cost of scholarships increased in 2019 by over \$1.0m as doctoral awards pipelined to approach the 650 level and the Top Achiever undergraduate awards continue to rise slowly offset by a rapid fall in the number and costs of the old grand-parented undergraduate awards.

The budget for 2020 is set just below \$34.2m, including the Summer Scholarships, with this level rising fractionally over the current forecast to reflect price adjustments. A more stable suite of awards reduces the cost variability faced in the recent past, allowing the 2020 budget to be set more realistically but at a lower level than the 2019 budget.

The total cost of \$34.2m for 2020 represents 6.3% of SAC funding and domestic fees. The 2018 actual scholarship expenditure of \$32.9m represented 6.4%.

STRATEGIC RESEARCH INITIATIVE FUND

The Strategic Research Initiative Fund seeks to build research capability, support research initiatives, and provide seed funding for projects without external funding. In addition, this fund allows for the recruitment of strategically important academics and researchers.

The fund also provides the University's funding in support of the joint TEC initiative for Entrepreneurial Universities (EU). This initiative provides funding to bring new research groups into the country.

The mix of investments is changing for 2020 as the support for the EU initiative rises and the investment specific strategic hires and projects falls.

The University's total contribution to the EU includes use of existing infrastructure, space and support structures and this is materially higher than the net incremental investment which rises to almost \$1.9m in 2020 from \$1.2m in 2019. The TEC match the University's total EU investment while the four current projects still operate.

Project funding eases back to \$2.6m from just over \$3.0m, while the commitment to specific strategic hires also falls back to \$2.1m in 2020. These strategic investments in aggregate settle back to cost \$6.6m for 2020 from \$6.8m currently forecast and the \$5.8m invested in 2018.

VICE CHANCELLOR'S STRATEGIC DEVELOPMENT FUND

The Vice-Chancellor's Strategic Development Fund is committed to further investments in 2020 in support of the Improvements in Research Support programme and a series of other projects including Doctoral Candidature and the health and safety management information system the Vault. This fund will also support the continuing Function and other reviews.

OTHER

Funding levels for the PReSS accounts, the Faculty Research Development Fund and the projects and initiatives funded via PBRF funding will continue in 2020 at similar levels to previous years. The aggregate 2020 investment across these three platforms exceeds \$15.1m, with only the PReSS funding adjusted for volumes.

Service Division Costs

The costs of existing services remain tightly constrained for 2020, with only limited provision made for salary inflation. Operational costs generally are held at 2019 budget levels, with manageable increases associated with approved new strategies or initiatives.

A series of unavoidable step changes in costs associated with newly opening buildings combine in 2020 with a series of one-off costs associated with demolition of buildings ahead of new construction projects. These predominately non-cash expenses have a profound impact on the overall University position in the short term.

PROPERTY SERVICES

Two of the main responsibilities of Property Services are the operation and administration of buildings in use and the planning, scoping and construction of new buildings. These two activities have very different cost exposures and levels of variability.

The cost of operating buildings in use are primarily cleaning, security, utilities and repairs and maintenance. These costs generally rise over time with pricing subject to unavoidable inflation and volumes affected by increasing floor space.

As the building projects progress through the planning and scoping, design, construction and commissioning of buildings, different sets of operating costs are incurred, some transitory, some adding permanently to the cost base.

The initial phases of new building proposals drives the uncapitalisable costs of scoping and developing the solution as well as the cost of design work that is not incorporated into the final scheme. As the construction commences then the costs of decanting occupants and the possible cost of demolition must be absorbed, while commissioning naturally adds operating costs, utilities and depreciation permanently to the cost base.

The period between 2017 and 2019 has seen the building capital reinvestment programme progress with record construction activity at the University including a record \$359m expected to be spent in 2019. This sum includes over \$288m on Engineering Redevelopment, Grafton Park West and the Waiparuru accommodation facility. The conclusion of construction and the commissioning of these three buildings all in late 2019 or early 2020 not only results in a much reduced capital spend going forward but it also permanently alters the University's cost base by a significant amount from 2020. These

buildings add 78,000sqm to the University's stock of buildings.

Utilities costs have risen by \$1.6m or 13% over the 2016 to 2019 period reflecting new spaces such as the intensive Sciences Centre and some Accommodation buildings as well as utilities price increments over this period. Some significant electricity contracts were subject to repricing in 2019, having a moderate initial impact.

Primarily as a result of the commissioning of the three new buildings utilities are expected to step up in 2020 by a total of \$1.66m or 12%. Electricity rises by \$1.25m alone with more than \$500k reflecting price adjustments. Water is the other major increment and this additional \$300k cost is disproportionately driven by Waiparuru and another new leased accommodation facility. Accommodation facilities are significant users of water and also electricity, with rent covering these costs.

Cleaning and grounds maintenance and security costs have both been subject to cost increases as the minimum wage is legislatively adjusted, and this and the impact of the new spaces sees these costs in combination rise by \$1.2m, representing an 8.7% rise in the cost of cleaning. The repairs and maintenance cost is also expected to shift in part due to the new spaces and rising cost in existing spaces. A very tight labour market in the building industry generally impacts on both repairs works and capital build costs.

Opening of the Grafton Park West Building allows staff currently housed in leased areas within the hospital to move and to accommodate the Population Health activities traditionally at Tamaki. This sees the last of the Tamaki activities moving to the city and with that the Tamaki transportation costs incurred by Property Services cease, saving over \$480k in 2020 and beyond.

Depreciation is the most significant cost of commissioning new buildings. These costs are discussed in detail in the following section.

The 2020 budget for asbestos work is set at \$2.4m, down from the 2019 budget of \$3.3m and it includes a mix of costs associated with the Asbestos Management Programme, and additional compliance costs. Some projects to address asbestos issues are expected to be capitalised after the buildings concerned are first impaired. Although the cash cost is no different, this treatment reduces the operating cost impact.

The project to replace the Recreation Centre is the largest of the projects that are in an initial phase in

2020. This project's transition from planning and approval to early enabling and preliminary construction changes the operating cost implications for Property Services in a number of ways.

Preliminary design and investigation costs have been high in both 2018 and 2019 associated with the proposed Recreation and Wellness Centre (RWC), Waiparuru and the Gateway Buildings. Total consulting costs for 2020 drop by \$1.8m mostly reflecting the stage at which these projects are at, with designs approved or project timing delayed.

The physical cost of demolishing old buildings to make way for new is not the only impact associated with building on already occupied sites. The holding value of these old buildings must also be written off, directly impacting operating costs at the point the demolition commences, with these two material profit and loss impacts operating in tandem.

Demolition costs are expected to rise by more than \$1.6m in 2020 as the initial demolitions clearing the way for the Recreation and Wellness Centre build commence alongside works enabling the refurbishment of the Engineering tower and some other strengthening works in sector 300. Recreation Centre demolition costs are expected to further expand for 2021, before dropping away.

Non cash building write down costs of \$11.7m must be sustained as an operating cost in 2020. Almost half of this is a portion of the Science Centre that makes way for part of the RWC and the remainder relating to the refurbishments of the Engineering Tower and the SSB buildings. Further write downs of approximately \$7.9m will be incurred in 2021 associated with SSB and Old Choral Hall refts to ultimately accommodate Education and Social Work.

The final impact of the commencement of the RWC project is the temporary housing of recreation facilities during the new building's construction. A lease has been secured for a site on Stanley Street and the lease and operating costs as well as the depreciation costs of the temporary fit out will be incurred.

Total lease costs rise in 2020 by over \$1.0m as new leases for the temporary Recreation Centre and for new South Auckland facilities to rehouse the Manukau programme commence in late 2019. These costs are offset in part by the conclusion of the Auckland Hospital Lease in mid-2020. As mentioned earlier, these activities will shift from the hospital to the Grafton Park West buildings progressively from the end of 2019.

The operating costs of Property Services reflect the changing operating strategies and capital of the University as a whole, with new programmes, programme location changes and upgrading facilities to a fit for purpose state all have a direct effect on property costs. Some of the cost impacts are temporary, generally reflecting the early stages of capital projects while others permanently add to the cost base.

As anticipated in the LTACP, Property Services will face higher operating costs in 2020 compared to the current forecast reflecting the predictable costs of commissioning three substantial new buildings and the early stages of the next significant construction projects.

Compared to the 2019 budget, property operating costs in 2020 are expected to rise by almost \$34m, but with non-cash depreciation and building write down costs totalling \$30.6m alone. The net costs permanently adding to the costs base exceed \$20.6m and include depreciation, leases, utilities, repairs, security and cleaning. All of these were anticipated in the LTACP. Transitory costs for 2020 approach \$1.3m and comprise demolition and write-downs alongside preliminary costs.

Close attention has been paid to the impact of property costs in the medium term through to 2022, with transitory costs expected to be highly variable over this period.

Net costs are expected to be similar in 2021, with continued rises in depreciation offsetting a sharp drop in write-downs, before falling in 2022. The conclusion of significant demolition and building write-downs in 2022 is expected to lead to a net fall in property costs of over \$6.0m.

DIGITAL SERVICES

The professional staff structure for Digital Services and the wider IT function was finalised in October 2018 as a result of the IT Function Review. There were more than 400 professional staff working in an IT related role in Faculties, LSRI's, Service Divisions and the IT function. As a result of this Review, 65 positions have been created, 212.6 remain unchanged or substantially similar, and 77.5 disestablished.

The most material impact of the review has been the centralisation of IT staff from Faculties and Service Divisions. This transfer occurred early in 2019 and the full year 2020 budget impact is a shift of salary and on-costs of \$8.6m to Digital Services

IT have budgeted initial people cost savings from the implementation of the IT Function Review. The initial \$300k is expected to grow over the next few years as the execution of the enabling initiatives take effect.

New service initiatives as part of the capital programme including Robotic Process Automation and the Student Digital Programme Customer Experience and the Student Digital programme incur additional on-going operating costs. The extra \$1.05m that has been included in the 2020 budget aligns with the approved business cases.

An increase in inflation on software of \$397k is partially offset by a saving of \$360k from the reduction in Membership fees to Research and Education Advanced Network New Zealand Limited (REANNZ).

The capital expenditure for Digital Services falls in 2020 to \$18.7m from a high of \$20.9m in 2019. This fall has little immediate impact on Digital Services operating costs although a reduction in depreciation is expected in coming years. The depreciation exposure for 2020 is primarily impacted

by the capital programme of 2019 and accordingly depreciation is expected to rise over the current forecast by over \$1.3m.

CAMPUS LIFE

Campus Life operations in 2020 are affected by the building demolitions required ahead of the construction of the new Recreation and Wellness Centre. Operations of the Recreation Centre are naturally disrupted over the period of the construction, with flow-on financial impacts, but other units are also impacted.

Commercial Services includes Retail and Events, Conferences and Catering and has responsibility for the retail spaces on campus. The demolition of part of the Student Union Building impacts on these retail spaces and catering operations on campus. Commercial Services faces the loss of over \$220k in revenues in 2020, with the write down of assets also a cost impact.

Recreation Centre operations move to a new leased premises on Stanley Street in 2020. This disruption combined with a smaller space further from the heart of the campus is expected to have an impact on membership revenues and usage. Membership revenues associated with the old premises had been falling for some time but in 2020 the net impact on revenues is expected to exceed \$800k.

Other costs including the lease of the space and the depreciation associated with the temporary fit out of Stanley Street and a temporary basketball court will also be incurred. Annual full costs of the temporary arrangements are expected to approach \$4.5m in 2020.

The operations of the Early Childcare Education Centres return to normal after the short term disruption caused in 2018 by the demolition and rebuild of the Grafton premises.

Campus Life receive some additional funding in support of some new requirements and initiatives in 2020. Additional funding will support the Counselling team, Proctor support and the establishment of a sexual harassment action plan.

ACCOMMODATION

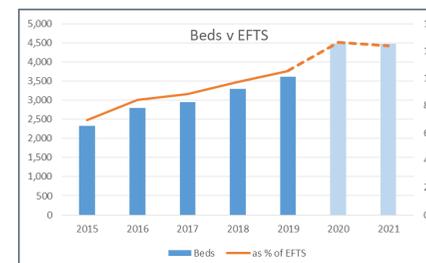
The University's student accommodation function currently provides 3,610 beds, up from 3,256 in 2018 as 323 fully catered beds came on stream in the new Grafton Hall that opened in 2019. The styles range from single catered dorm rooms with a high level of pastoral care for first year students, to

apartment style living for returning undergraduates, postgraduates and family groups.

One of the key actions of the University's Strategic plan is to "increase the provision of University-supported accommodation, particularly to first year undergraduate and international students". Student accommodation also contributes to attracting students of high academic potential, giving them an outstanding university experience so that they become successful and loyal alumni.

In 2020 two new halls of residence open; Waipārūrū Hall at 35 Whitaker Place, which will provide 786 new catered beds and Te Tirohanga o te Toangaroa on Anzac Road with 488 beds. With the lease on Huia Residence not extended, this will bring the total number of beds for 2020 to 4,470 which is more than double the number of beds in 2013.

The graph compares the growth of beds with the growth in the numbers of students accommodated. Bed numbers have grown substantially faster than students leading to a sharp rise in the percentage of the population being accommodated.



A target of 7,500 beds by 2026 has been set, a growth rate that exceeds the student number growth rate.

As the bed numbers have doubled since 2013 so has the revenue and total revenue for 2020 is budgeted to exceed \$60.6m. Term occupancy is calculated at 98.5% and generally this occupancy rate is easily achieved given the room rates. The budget for the two new halls has been set based on the approved business cases.

Most of the operating variables associated with running accommodation are fairly predictable and cost pressures have primarily been linked to shifts in minimum wages in recent times. This impacts most on catering costs but also impacts cleaning, security and the cost of residential assistants.

Accommodation \$000	2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Term Revenue	24,382	29,694	32,935	38,184	44,322	43,941	55,097
Summer Revenue	1,251	1,292	2,016	1,961	993	2,871	3,544
Other Revenue	1,363	1,439	1,480	1,889	1,913	1,463	1,979
	26,996	32,425	36,431	42,034	47,228	48,275	60,620
Expense	28,000	32,882	38,084	46,448	49,345	49,975	61,838
Contribution	(1,003)	(457)	(1,652)	(4,413)	(2,116)	(1,701)	(1,218)

Summer revenue is much less predictable than term revenue. New strategies are in place to secure summer revenue after a disappointing result in 2019. Budgets for summer and other revenues in 2020 align with the business cases for the two new buildings and some risk is acknowledged.

OTHER SERVICE DIVISIONS

Human Resources have some additional recruitment and Health and Safety roles in 2020, a rise due to market driven salary rates plus inflation on recent hires sees an increase in people costs.

The new Service Delivery Model for Libraries and Learning Services was announced in June 2018 and will see the closure of the Tamaki Library, the Epsom Library and the three Creative Arts and Industries libraries with collections being moved to the General Library. These changes result in cost savings over the medium term, although the project management costs of the initiatives offset in the short term. Library also assumes responsibility for the new Manukau teaching facility including a library from 2020 with incremental costs provided for this accordingly.

The Finance Function review has a material impact on the budget for Finance in 2020. Alongside the transfer of numerous financial roles across the University at a cost of \$2.3m there are also a series of new roles that have been established. Eleven new roles including the new management structure have been established and an expansion of capability in business intelligence, revenue and analysis and business partnering. The net incremental cost exceeds \$1.5m, with efficiencies and rationalisations to offset this incremental cost expected to have a fuller effect from 2021. Additional roles to support

organisational risk and resilience have also been included in the 2020 budget.

The Remuneration Strategy commenced during 2019 and has now largely concluded its findings. The exercise regraded all profession staff roles with a view to ensure all new roles were paid in line with the market, to ensure existing staff paid below market rates had salary corrections, and those paid over the market were identified and their future pay rates moderated equitably. The strategy is expected to cost up to \$1.4m in 2020 as those paid below the market receive corrections to their pay. Over a three-year period savings are expected from the more transparent equitable pay regime.

Strategic Engagement continue their efforts to grow international student numbers through strategic use of agency incentive programmes in targeted markets. Commissions to agents increase with the increase in student numbers. Agent fees are also affected by an increase in commission charges, with the average rate of commission increasing from 10.9% in 2016 to 12.8% in 2019. Total commission costs are expected to rise by \$780k to reach \$7.7m in 2020. These commissions are expected to have increased by just under \$2.0m since 2018, yet have grown little as a percentage of total international fees. Commission costs remain just over 4% of international fees. These commission costs are passed on to Faculties.

Funding for representation in China and India is another initiative to promote international enrolments. International students are also recruited through the domestic market with fees paid to agents in New Zealand.

The Office of Research Strategy and Integrity form part of University Management and they have had

their new structure confirmed following on from the significant 2018 changes associated with IRiS. The Director of the unit has been confirmed and 3 new roles established in the pursuit of research activity growth.

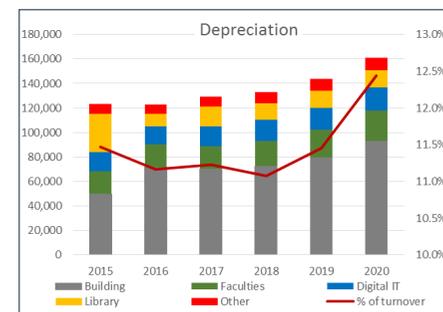
A Pro-Vice Chancellor Pacific has been established, with a salary and operational costs budgeted in 2020 as part of University Management.

Depreciation

As indicated in the last section, total depreciation costs rise sharply in 2020. The 2018 LTACP indicated the scale of the increase in depreciation the University would face in 2020 as three large building construction projects conclude at the same time.

In total depreciation is budgeted to rise to \$161.1m an increase of \$17.1m or 11.9% over the 2019 forecast. This increase is suppressed somewhat by the sizable 2019 impact of the 2018 building revaluations. The opening of three very large buildings progressively, between late 2019 and early 2020 will add significantly to depreciation in 2020 with the ultimate impact of those three projects being almost \$15m.

While building depreciation is the largest and highest profile shift, a rising capital spend in IT and business transformation projects in the past few years leads to an increasing depreciation exposure including a \$1.5m increase for 2020. The shift to purchases of computers alongside the Strategic Research Infrastructure (SRI) fund purchases, capital associated with new spaces, and rising capital expenditure generally drives additional depreciation for Faculties.



Over the 2016 to 2020 period depreciation increases by \$38.2m, or 7.0% CAGR.

This rate of growth easily outstrips inflation; depreciation also grows notably faster than revenue and the University level of activity. Total revenue grows by 4.1% CAGR over the same period.

The 2014 to 2017 Library collection depreciation was affected by a series of changes to depreciation rates.

Depreciation for the library had been highly variable and generally growing, although reaching an equilibrium point and dropping slightly in 2020 with a further change in the accounting treatment of serial purchases in 2019.

The depreciation growth rate in comparison with the growth in revenue clearly demonstrates the University's reinvestment phase. Building depreciation moves by three and a half times the rate of growth of revenue over the 2015 to 2020 period, with building revaluations impacting alongside the numerous new buildings commissioned.

PROPERTY

The step change in building depreciation expected in the 2020 year has long been predicted in successive LTACPs and forecasts.

The conclusion of the Engineering redevelopment, Grafton Park West and the Waiparuru accommodation buildings together in late 2019 or early 2020 are all enablers of University strategy. They consolidate and grow medical activities, bring new teaching methodologies and fit for purpose facilities to the Engineering programme and expand the number of beds we can provide. Largely predictable cost in terms of operations and depreciation are also a by-product.

The table below shows depreciation expense by activity

\$000	2016 ACTUAL	2017 ACTUAL	2018 ACTUAL	2019 FORECAST	2020 BUDGET	20 v 16 CAGR %	19 v 20 CAGR %
Property (building)	71,504	70,317	72,387	79,856	93,089	6.8%	16.6%
Library Collection	10,319	16,347	13,815	14,319	14,186	8.3%	-0.9%
Digital Services	14,928	16,034	16,914	17,569	19,030	6.3%	8.3%
Faculties	18,637	18,572	20,912	22,546	24,620	7.2%	9.2%
Service Divisions	5,990	6,490	7,397	7,927	8,633	9.6%	8.9%
Other	289	88	159	152	137	-17.0%	-9.8%
UniServices	1,230	1,253	1,532	1,543	1,363	2.6%	-11.7%
	122,896	129,103	133,116	143,912	161,057	7.0%	11.9%

The \$13.2m increase in building depreciation expected in 2020 is primarily a result of the three new buildings and \$12.6m is added to depreciation in 2020 with the ultimate impact of those three projects being \$14.9m by 2021.

Between 2018 and 2021 building depreciation is expected to rise by \$27.6m or 38.1% with the increase reflecting new buildings, natural retirement of buildings and demolitions as well as the impact building revaluations have on depreciation.

The table below sets out the major factors affecting building depreciation over this period, detailing incremental changes occurring or expected to occur in 2019 and 2020.

Building depreciation (Property Services) – incremental analysis

	2019	2020
Building depreciation - opening	72,387	79,856
Revaluation depreciation impact	5,714	
Engineering redevelopment	973	5,110
Grafton Park West	632	3,646
Waiparuru - accommodation		3,813
Temporary Recreation Centre		1,413
Grafton Hall	1,379	
Thomas Building	145	435
Demolitions		(1,138)
Net Other	(1,374)	(46)
Capitalisations / Retirements		
	7,469	13,233
Building depreciation - final	79,856	93,089

The continuing works at the Thomas Building and the costs of the temporary recreation facilities are also influencing building depreciation in 2020. The Recreation and Wellness Centre project leads to some demolitions which affect depreciation. Parts of the Student Union Buildings and the Science Centre will be demolished in 2020 leading to reduced depreciation, with the existing Recreation Centre earmarked for a 2021 demolition.

A significant rise in building depreciation last occurred in 2016 as costs stepped up by almost \$15m due to the triennial building revaluation. Due to the rapidly rising value of building replacement costs a further revaluation occurred in late 2018 having a depreciation impact in 2019. The revaluation saw the fair value of the University's buildings rise by

\$15.5.9m or 9.5%, driving an additional \$5.7m in annual depreciation.

A further revaluation is expected to impact depreciation in 2021. While this impact is only estimated based on projections of the construction cost index it is clear generally that revaluations have a significant and relatively unpredictable impact on depreciation.

LIBRARY MATERIALS

Library depreciation rates are now stable and the much shorter depreciation lives mean that depreciation expenditure reacts quickly to movements in capital expenditure. Library material capital expenditure is relatively stable also falling fractionally in recent years as a policy shift sees periodicals expensed rather than capitalised.

Depreciation on library materials remains in a fairly tight band just above \$14m.

FACULTY

Faculty capital expenditure allocations were relatively stable in the 3 years to 2017 although step up by 10% in 2018, due in part to a change in policy associated with leased computers.

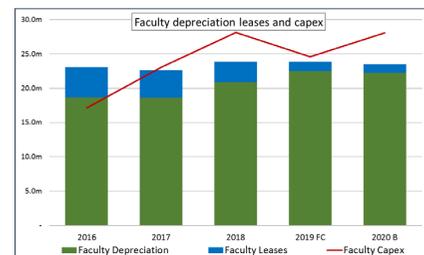
All computers are now purchased rather than leased, increasing capital expenditure and depreciation, but with an offset in lease costs and an overall expenditure benefit.

Capital expenditure for Faculties is generally relatively static but with some variability reflecting the required timing of computer replacements. A series of additional capital amounts play a role in the latter part of 2019 and into 2020.

The approved budget for the Engineering redevelopment included \$1.75m for new items of equipment. This amount will be spent late in 2019 and in 2020. These assets are owned and depreciate in the Faculty of Engineering. Engineering is also the host of two Entrepreneurial University grants. These grants are funded jointly between TEC and the University with the TEC funding significant capital. The first of these grants provides capital expenditure of over \$2.1m.

These factors contribute to a sharp 17.6% increase in the depreciation for the Engineering Faculty in 2020. Total depreciation for the Faculty rises from \$3.85m in 2018 to \$4.7m in 2020.

The Shared Research Infrastructure fund (SRI) also results in additional capital funding into Faculties in



2019 and 2020 after a period of lower investment. The 2019 SRI purchase of a \$1.6m microprobe and the metabolic cages in the Vernon Jensen Unit will drive up depreciation in Science and Medical and Health Sciences respectively.

Aggregate depreciation in Faculties is rising in both 2019 and 2020, with the 2020 budget of \$24.6m a 3.0% increase over the current forecast and a 7.2% CAGR rise over 2016. The increase over the longer period in part reflect the move to outright purchase of computers and the conclusion of the former leasing arrangements.

DIGITAL SERVICES

Depreciation of digital infrastructure continues to rise slowly, mirroring but lagging behind movements in capital expenditure. Digital Services capital expenditure stepped up from \$15.7m to \$21.0m in 2019 driven by core infrastructure and Learning Management projects. This shift has more influence over the 2020 depreciation than the expected 2020 drop in capital expenditure to \$18.7m.

Depreciation rises to \$19.0m a 2.7% increase over 2019.

Statement of Cashflow

OPERATING CASHFLOWS

Operating cashflows are the primary enabler of capital expenditure or debt servicing and long-term projections have indicated rises in these levels as turnover and financial activity increase.

Despite a reduction in the surplus in 2020, operating cash flows generated by the University continue to increase. The surplus comes under pressure from the challenges of low revenue growth, budget allocation complexities, and infrastructural operating cost increases. However the primary drivers of the reduced surplus is the one-off write down of buildings earmarked for demolition and the continuing rise in

depreciation. These primary drivers are non-cash, having no impact on the continued generation of healthy operating cashflows.

Operating cash-flows are a product of relatively predictable underlying cash-flows and less predictable movements in working capital.

Underlying cash-flows are essentially surpluses excluding non-cash items. These are expected to reach \$205.4m in 2020, increasing from \$191.4m in 2019 and \$191.5m in 2018. The increase is principally driven by strong growth in international student numbers and associated margins allowing a surplus, albeit at 2.5%, to be achieved in the face of higher building depreciation and building write-downs.

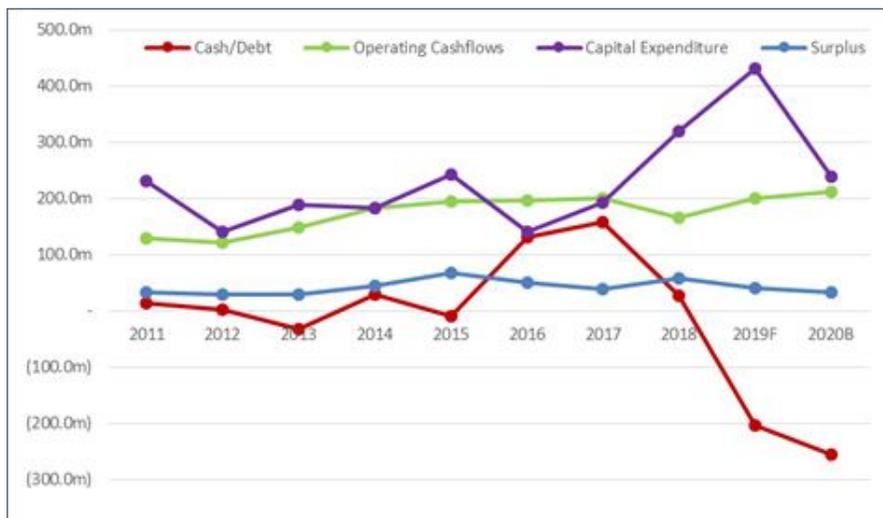
University operations tend to generate positive movements in working capital, as payables naturally rise faster than receivables, employee leave liabilities tend to rise year on year alongside fees paid in advance and a growing research portfolio can lead to generally rising research contract obligations.

These types of movements are not easy to predict but are generally a positive contributor. The abnormal \$5.0m fall in working capital in 2018 was in part a reversal associated with the sale of intellectual property within UniServices the previous year. Working capital is forecast to rise again by \$17.7m in 2019.

Working capital is budgeted to fall in 2020 but this mostly reflects a large drop in capex accruals that signal a material reduction in building capital expenditure for 2020. The capex accrual drop is treated as a movement in working capital relating to investing, not affecting operating cash flows.

Tuition fees in advance continue to grow rapidly, mostly reflecting the rise of international students, but also the growth in fee rates. This results in incremental cash generation of \$7.5m forecast in 2019, with a further \$4.2m conservatively budgeted for 2020.

Research contract obligation balances in 2018 were nearly double the 2014 level, with some of the rise over that period relating to the early stages of new CoREs and NSC contracts and the remainder growth in other Public Good awards. Research contract obligations specifically associated with the CoREs and NSCs are expected to drop in 2019 and 2020. The CoRE contract funding concludes in 2020 and we have already seen an increase in activity as projects must complete by 2020 or risk returning unspent funds. CoRE expenditure in 2020 is expected to exceed cash received leading to a drop in obligation balances.



Operating cashflows are budgeted at \$212.4m for 2020, rising over the \$200.9m current forecast by \$11.6m, correlating with the \$14.0m rise in underlying cashflows.

The chart above details the connections between, surplus, operating cashflows, capital expenditure and cash or debt. Sale proceeds from Tamaki have had a materially positive effect on cash balances in both 2014 and 2016. The sale of intellectual property (IP) by UniServices late in 2017 materially increased operating cashflows in 2017. The cash outflows associated with the IP sale occurred early in 2018, effectively reversing some of the 2017 windfall leaving both 2017 and 2018 influenced abnormally by this transaction.

The substantial upswing in the 2018 and 2019 property capital expenditure programme explains the extreme shifts in both capital expenditure and debt and this returns to more normal levels in 2020.

INVESTING CASHFLOWS

Investing cashflows have increasingly exceeded cash generation from operations in recent times, leading to the net consumption of cash. The balance of investing verses operating cashflows reflect the scale and stage of the capital reinvestment programme planned in the LTACP.

Building capital expenditure started to rise in 2017 driven by increased activity in the Engineering, and accommodation projects. Activity stepped up

significantly in 2018 as work ramped up on Engineering, Waipārūrū Hall and the Grafton FMHS West Park developments. Net cash consumption of \$130.8m occurred in 2018, leaving a reduced but still positive net cash balance of \$27.8m.

Building capital expenditure will reach record levels in 2019 as the three existing large projects moved into more intensive construction phases, combined with initial works on the new Recreation and Wellness Centre. Over \$112.1m is expected to be spent in 2019 on Engineering, with \$92.9m for the large accommodation building Waipārūrū. Continued progress to complete Grafton West Park in late 2019 is expected to consume \$83.3m.

In total, net investing cash outflows of \$431.9m are anticipated in 2019, exceeding the expected operating cash generation by a factor over 2 to 1, leaving a net cash consumption at \$231.2m. The borrowing position of the University forecast at the end of 2019 is approximately \$240m.

Building capital expenditure is expected to fall in 2020 with the final completion of the three major projects before significant spending occurs on the next tranche of projects. The most significant of the next tranche of projects is the Recreation and Wellness Centre, although works on the Thomas Building continue alongside a series of smaller projects. In total building capital expenditure is expected to be just \$166.2m in 2020, combining by

rising capital expenditure elsewhere to total \$237.9m.

Investing cashflows exceed the accrual-based capital expenditure, reflecting also movement in working capital.

Once again investing cashflows at \$263.2m will exceed operating cash generation to lead to a reduced level of cash consumption in 2020. Cash consumption of \$51.0m will result in closing debt of \$290.5m for 2020.

A debt position for a number of years beyond 2020 is anticipated given the capital works projected in the LTACP. The University Council has approved a material increase in the current \$300m debt limit and discussions with TEC to seek approval for an increase in the approved limit are progressing.

Requirements are expected to deviate from the LTACP with respect to the 2020 sale date of the Epsom Campus. To maximise the value realisable from this campus a delay in the expected sale date is now envisaged and proceeds are not included in the 2020 budget.

Borrowings have long been signalled in long-term capital plans. They reflect the need to enable the achievement of strategic objectives through upgrading and growing long-term facilities at a faster pace than short term operating cash flows can generate.

Balance Sheet

Year-end is close to the lowest point of the University annual cashflow cycle, a cycle driven by the receipt of tuition fees in advance between November and early March. Given this, balance sheets at year-end also show the worst-case position in terms of cash, borrowings, and working capital.

Working capital, along with cash balances, had been relatively stable for a number of years. The adverse movement in working capital for 2018 and 2019 primarily reflects the cash consumption, with short-term cash assets converting into long term fixed assets as the substantial building projects progress. The borrowing projected for the end of 2019 and for 2020 is structured as long term and so doesn't further worsen the working capital position.

The 2020 working capital position improves fractionally with the shift in capital expenditure accruals the most material impact. This drop in capex

accruals naturally follows the drop in construction activity expected in 2020.

Movements in debtors, payables, research contract obligations, and employee entitlements reflect movements in the scale of business activity generally and these movements are budgeted conservatively. Research contract obligation balances are expected to decrease in 2020. This is driven by activity in the CoREs which consume net cash to exceed the billing schedules in the lead up to the contract conclusions in 2020.

While current liabilities are expected to exceed current assets by \$220.9m at the end of 2020, elements of these liabilities, such as research contract obligations and employee entitlements are extremely unlikely to crystallise to any great degree in the short term.

The closing net cash position increases to (\$255m) by December 2020, with a facility draw down of \$290.5m offset by cash on hand and short term deposits. Growth in the year-end debt balance slows from \$189.5m in 2019 to \$51m in 2020 as major construction projects conclude and total capital spending subsides. Investing cashflows may drop below operating cash generated in subsequent years, but not sufficiently to extinguish the debt position in the medium term. The funding facility will be required as expected in 2020, with a continuing requirement for debt over the medium term future.

Outside of the cash position the most material movement in the Balance Sheet is naturally the fixed asset balance. Fixed assets, including intangibles rise to \$3.62b from \$3.54b in 2019 as capital reinvestment materially exceeds depreciation. The growth in fixed assets since 2017 exceeds \$0.75b affected by reinvestment and revaluations.

Capital reinvestment far outstrips revenue growth in recent years.

Achieving the Strategic Plan

Proposed Key Performance Indicators 2020-2022

Accomplished and well supported staff

The University is looking to a range of initiatives, including the development of the new Strategic Plan, to increase the proportion of staff positive about staff engagement and about leadership in the coming years. The 2013 baseline for the current Strategic Plan, had 74% of staff positive about their engagement to the University, in the 2019 staff survey this had increased to 79%. This is slightly lower than, but not materially different from, the 2017 result of 80%. The results of the 2019 staff survey, and initiatives to address issues identified in the survey have a prominent place in both faculties and service divisions' plans. The proportion of staff positive about leadership has increased from 56% in 2013 to 59% in the 2019 survey; 3 percentage points lower than in 2017.

Gender equality in the University is a focus. The proportion of women staff in senior professional positions has now reached 50% in 2019, up from 42% in 2013. The proportion of women staff in senior academic positions has also increased to 35% in 2019. The percentage of women in senior academic positions has risen from 27% in 2013.

The University is looking to make further investments in high achieving staff both in research focussed academic appointments and in the professional staff where the aim is to consolidate transactional activities and increase the focus on the development of quality advice to students.

Able students, successful graduates and alumni

The University is expecting to maintain and improve the quality of its intakes between 2020 and 2022. We hope to counter the decrease in the school leaving cohort the concerted conversion campaigns including, increasing the number and range of fast track offers. Fast track offers yield a higher conversion rate, which should contribute to attracting more students. Other actions taken are the ongoing investments in undergraduate scholarships, accommodation and the outstanding student experience. In the past years this has contributed to the recruitment of a high potential intake of students,

the focus on the retention of students will be further strengthened through the Retention Strategy. The implementation activities have multiple strands and include ensuring the standard of advice and support available is strengthened and meets students' needs and that degree pathways are selected that take account of students' preparation for study.

The percentage of Māori undergraduate students in 2019 has declined slightly compared to previous years to 8.7%, which is below our ambitious target. The percentage of Māori postgraduate students has increased compared to 2018 and is with 6.5% just below 2017 achievement. The percentage of Pacific undergraduate students has increased slightly to 12.5%, which is above target. The percentage of Pacific postgraduate students remains stable at around 6%.

The increased emphasis on retention, including first year experience programmes linked to faculty-based and central learning support activities, have had a positive effect on Māori and Pacific pass rates. Over the long term, the University is committed to achieving parity of Māori and Pacific students' performance. In our Educational Performance Commitments agreed, as part of the Investment Plan 2020-2022. We have committed to increases in both the Māori and of Pacific student pass rates, while our commitments will not reach parity by 2022, they represent a significant improvement on the rates in 2013 which were 74% for Pacific and 84.5% for Māori.

The profile of the student body is progressing toward the Strategic Plan targets. International student proportions are increasing as are the proportions of postgraduate students. The improved admissions processes and increased delegation of decision-making has positive impacts for both domestic and international students as advice is improved and decision times are reduced. The University continues to invest in new academic programmes and support services ensure the programmes it offers meet student expectations of enhanced employment outcomes. The Student Digital Journey project has provided a digital application system that is already having positive impacts for applicants, with further work to come that will help them in the transition to the University.

We place considerable importance on providing a high quality learning and teaching environment, and on the quality of our courses and teaching. The curriculum, provided through our degrees, is benchmarked through international accreditations and maintained through a robust quality assurance programme that is focussed in the disciplines we offer. The Graduate Destination Survey, ran in November 2017 and currently be repeated in November 2019, has shown positive outcomes for our recent graduates.

Building projects, like the new engineering building which will be finished in 2020, will have a design that is focused on multi-disciplinary learning spaces. These spaces will contribute to the new learning experience the University wants to offer to the students.

High quality research that benefits society

The University has yielded good results from the 2018 research quality evaluation. The number and percentage of academic staff who are ranked A increased to 22.4%, B to 42% and C(NE) to 16%. The number and percentage of C ranked staff dropped while New and Emerging staff numbers increased. This has strengthened the University's position as New Zealand's leading research-university.

The focus on research has remained strong in 2019 and will continue through 2020 to 2022. The question of the quantity of research outputs versus the quality, has been discussed in several fora this year. Human Resources will lead a review of the Academic Standards and grades to ensure that the alignment between quality and quantity is well reflected in the standards.

The University's External Research Income (ERI) is forecast to grow over the next three years. The University expects to submit 11 applications to host Centres of Research Excellence from 2021 and has ensured that we are key partners in other University bids. The development of the Long Term Academic and Capital Plan allowed a wide-ranging scan of the research opportunities available to the University. This identified opportunities to extend the range of staff engaged in external research contracts and to

increase revenue and market within New Zealand and overseas. The increased government funding for research has had a positive effect for the University. The latest Marsden Fund Round brought in \$21.7 million for 35 researchers and research groups.

The University hosts or co-hosts several of the National centres of research collaboration. They continue to be complex arrangements providing benefits across the research sector as well as to the University of Auckland. The University of Auckland is leading one of the Centres of Asia-Pacific Excellence, a centre focused on developing Asia-Pacific rim knowledge and language skills, facilitating collaboration between tertiary education providers and stakeholders to enhance partnerships with the Asia Pacific Region.

A sustainable, autonomous University

The University's asset-related costs are projected to increase materially as the campus development programme progresses. The new state-of-the-art Engineering Building 405 will have its Official Opening this year and will be ready for students next year. The movement of Population Health staff from Tamaki to Grafton will also be completed in early 2020.

The University will address both the opportunity to grow and diversify its revenue and reduce its cost structures. We will continue to refine University administration through active improvement of prioritised processes and shared transactional services, further analysis and benchmarking of functional costs and continued monitoring of academic to professional staff ratios.

Increased revenue is anticipated through increased international student enrolments, and a focus on attracting external research funding. Domestic student numbers remained stable in 2019, after a decline of several years. The pipeline effect created through the increase in the number of first year domestic students will have a positive effect on the coming years. An increase in domestic funded EFTS has been forecasted for the coming years. This is a challenging forecast which will require an effort to achieve. Reviews of the structures and contents of undergraduate degrees to regain market share in

some areas, the focus on retention and transition to postgraduate study are expected to contribute to the growth.

The expansion of scholarships, changed admission process and new programmes have reversed the decline in commencing students. The Year 13 rolls, who are the majority of our school leaver enrolments in the following year, have been declining. The number of Year 13 students enrolled in 2019 is significantly lower than in the past years, which will impact on our 2020 school leaver enrolments. Beyond 2020, we are expecting a slow improvement in school leaver numbers, but they will remain well below 2017 numbers for some time. We are anticipating that the downturn in rolls will lead to even more aggressive recruitment strategies and with increased international competition from mobile students, it is challenging to maintain our market share of this important group.

A public university of global standing

In 2019, the University participated in the inaugural THE University Impact Rankings. We were ranked number 1 in the world. The University's ranking in both the QS and the Times Higher Education rankings improved compared to 2018 results. In the QS we are ranked 83, in the THE, we ranked 179, bringing us back in the top 200. In both we are the best performing university in New Zealand, but the international competition is strong and in many jurisdictions improved rankings for a few leading Universities has been a key Government policy. The University is ranked in the QS subject rankings first in New Zealand in 37 of the 41 subjects in which we are ranked. The increased focus on rankings and the opportunities provided by a rankings specialist have contributed to the result.

A ranking strategy has been developed and this will be implemented in 2020. This will help at a departmental level to maximise their impact but also to increase knowledge about what work can be done to improve rankings.



University of Auckland KPI Targets 2020 - 2022

	2013 Actual	2015 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Accomplished and well supported staff							
Student : academic staff ratio (EFTS : AFTE)	18.6	18.2	18.1	18.4	18.5	18.5	18.5
Academic : professional staff ratio (AFTE : Professional Staff FTE)	1.5	1.6	1.4	1.5	1.5	1.5	1.5
Peer reviewed publications per AFTE	3.2	4.1	4.6	4.3	4.5	4.8	5.0
Citations per AFTE	83.6	117.1	186.6	175	175	175	175
Number of prestigious awards held by academic and professional staff	268	267	320	340	≥350	≥350	≥350
Proportion of staff in academic positions who are Māori (%)	5.8	5.9	5.9	5.9	6.5	7.0	7.0
Proportion of staff in academic positions who are Pacific (%)	2.1	2.4	2.7	2.4	3.0	3.5	3.5
Proportion of staff in professional positions who are Māori (%)	6.2	6.2	6.7	6.6	7.0	7.5	7.5
Proportion of staff in professional positions who are Pacific (%)	5.3	5.3	6.4	6.6	7.0	7.5	7.5
Proportion of staff positive about staff engagement in staff surveys	74	79	80	79	79	80	80
Proportion of staff positive about leadership in staff surveys	56	59	62	59	59	>60	>60
Able students, successful graduates and alumni							
Proportion of school leavers entering with a GPE greater than or equal to 5	45.8	55.3	60.9	56.2	60.0	60.0	60.0
% Undergraduate students (Domestic EFTS) who are Māori	8.1	9.0	8.7	8.7	8.8	8.9	9.0
% Undergraduate students (Domestic EFTS) who are Pacific	10.6	11.8	12.5	12.3	12.5	12.5	12.5
% Postgraduate students (Domestic EFTS) who are Māori	5.8	6.4	6.3	6.5	7.0	7.5	7.5
% Postgraduate students (Domestic EFTS) who are Pacific	5.9	5.5	6.0	5.9	6.5	7.0	7.5
% Total EFTS (Domestic residency)	86.8	85.3	81.6	80.1	80.0	80.0	80.0
% Total EFTS (International residency)	13.2	14.7	18.4	19.9	20.0	20.0	20.0
Taught masters completions (numbers)	533	896	1,243	1,265	1,310	1,355	1,375
Research masters completions (numbers)	860	725	888	815	820	820	825
Doctorate completions (numbers)	318	373	394	447	490	506	524
% Successful course completions - overall domestic (excl theses)	88.7	88.4	88.4	89.0	90.7	91.0	91.0
% New undergraduate retention (re-enrolment)	88.0	86.0	87.9	87.1	88.0	89.0	90.0
Proportion of students expressing satisfaction with overall programme quality	94.0	95.2	95.0	95.1	>95	>95	>95
Proportion of courses with an evaluation score of 80% or more	69	63	65.3	66.6	>70	>72	>75
Degrees accredited by professional associations/accreditation bodies	46	52	52	52	>50	>50	>50
% Students expressing satisfaction with overall university experience	93	95	95	91.9	>92	>94	>95

8.2

	2013 Actual	2015 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
High quality research that benefits society							
Number of peer-reviewed research and creative outputs	5,472	6,899	7,986	7,775	8,115	8,465	8,640
A sustainable, autonomous University							
Total revenue (\$m)	973	1,075	1,202	1,248	1,295	1,345	1,367
Total revenue \$ / EFTS	29,455	32,089	35,556	36,477	36,474	37,225	37,336
Total revenue per academic staff FTE (\$)	456,814	492,246	512,134	549,039	552,457	563,209	563,029
Energy consumption (KWh/m ² GFA)	162	166	163	157	156	155	155
Wastewater (m ³ / m ² GFA)	0.7	0.7	0.7	0.7	0.7	0.7	0.7
Paper (A4 reams / EFTS)	2.7	3.1	2.4	2.0	1.9	1.8	1.8
Solid waste to landfills (m ³ / EFTS)	0.4	0.5	0.7	0.5	0.5	0.5	0.5
CO2 emissions (t CO2-e / EFTS)	0.8	0.8	1.0	0.9	0.9	0.9	0.9
Number of injuries	540	684	515	<650	<650	<650	<650
Rating in self-assurance review	Tertiary	Tertiary	Tertiary	Tertiary	Tertiary	Tertiary	Tertiary
Operating surplus as a % of revenue	3.0	6.3	4.9	3.3	2.5	2.8	3.9
Operating cash receipts as a % of operating cash payments	118.3	121.9	118.1	119.0	119.6		
Revenue achieved as a % of Budget	101.6	101.1	101.2	102.8	100		
A public university of global standing							
Rankings in the Times Higher Education World University Rankings	164	172	201-250	179	<175	<170	<165
QS World University Rankings	94	82	85	83	<83	<80	<75

University EFTS

	TOTAL						DOMESTIC					
	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Faculty of Arts												
Undergraduate	4,383	4,365	4,390	4,411	4,395	4,373	3,860	3,811	3,774	3,740	3,701	3,665
Taught postgraduate	363	345	400	436	483	495	295	242	281	306	346	352
Research postgraduate	356	365	335	349	349	350	343	356	329	342	342	343
Total	5,102	5,075	5,125	5,196	5,227	5,218	4,497	4,409	4,384	4,389	4,390	4,360
Faculty of Business and Economics												
Undergraduate	4,867	4,788	4,733	4,712	4,700	4,700	3,783	3,660	3,561	3,512	3,495	3,497
Taught postgraduate	809	872	871	946	969	979	379	347	315	325	338	334
Research postgraduate	152	135	135	127	129	129	145	131	133	126	128	127
Total	5,828	5,794	5,739	5,785	5,798	5,808	4,307	4,138	4,009	3,962	3,960	3,958
Faculty of Creative Arts and Industries												
Undergraduate	1,120	1,126	1,095	1,140	1,174	1,255	1,011	996	957	989	1,017	1,082
Taught postgraduate	261	260	261	287	294	285	227	231	222	237	248	239
Research postgraduate	312	307	300	305	316	310	291	284	273	274	281	278
Total	1,694	1,694	1,657	1,733	1,785	1,850	1,529	1,511	1,452	1,500	1,546	1,599
Faculty of Education and Social Work												
Undergraduate	1,531	1,373	1,328	1,260	1,287	1,315	1,474	1,315	1,239	1,144	1,148	1,165
Taught postgraduate	774	814	734	839	874	893	716	753	659	770	805	824
Research postgraduate	282	280	257	265	273	273	273	273	253	261	269	269
Total	2,587	2,468	2,318	2,364	2,434	2,480	2,462	2,341	2,151	2,175	2,222	2,258
Faculty of Engineering												
Undergraduate	2,429	2,527	2,635	2,646	2,650	2,660	2,149	2,253	2,370	2,377	2,395	2,394
Taught postgraduate	911	1,001	1,071	1,106	1,158	1,165	630	649	664	691	709	718
Research postgraduate	463	461	492	510	527	541	445	445	473	491	508	521
Total	3,803	3,989	4,198	4,263	4,335	4,366	3,224	3,347	3,506	3,558	3,612	3,633
Faculty of Law												
Undergraduate	1,260	1,406	1,435	1,501	1,548	1,585	1,233	1,370	1,400	1,461	1,508	1,545
Taught postgraduate	135	138	152	152	165	173	116	118	125	122	132	135
Research postgraduate	15	17	13	14	14	17	14	16	13	14	14	17
Total	1,410	1,561	1,600	1,666	1,726	1,774	1,363	1,503	1,537	1,596	1,653	1,696

8.2

INTERNATIONAL						OTHER FUNDING SOURCE					
2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
523	554	616	672	694	708	-	-	-	-	-	-
68	103	119	130	137	143	-	-	-	-	-	-
14	9	6	6	7	7	-	-	-	-	-	-
605	666	741	808	838	858	-	-	-	-	-	-
1,083	1,128	1,173	1,200	1,206	1,203	-	-	-	-	-	-
412	512	542	605	631	645	19	13	14	17	-	-
7	4	2	2	2	1	-	-	-	-	-	-
1,503	1,643	1,717	1,806	1,838	1,850	19	13	14	17	-	-
109	130	138	152	158	173	-	-	-	-	-	-
34	29	39	50	46	46	-	-	-	-	-	-
21	24	27	31	35	32	-	-	-	-	-	-
164	182	205	232	239	251	-	-	-	-	-	-
57	59	88	117	139	149	-	-	-	-	-	-
59	61	75	69	69	69	-	-	-	-	-	-
9	7	4	4	4	3	-	-	-	-	-	-
125	127	168	189	212	222	-	-	-	-	-	-
280	274	265	269	255	266	-	-	-	-	-	-
280	350	407	414	448	447	1	1	1	1	1	-
17	16	19	20	20	20	-	-	-	-	-	-
578	641	691	703	722	733	1	1	1	1	1	-
27	36	35	40	40	40	-	-	-	-	-	-
19	21	28	30	33	38	-	-	-	-	-	-
1	1	-	-	-	-	-	-	-	-	-	-
47	58	63	70	73	78	-	-	-	-	-	-

8.2

University EFTS

	TOTAL						DOMESTIC					
	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Faculty of Medical and Health Sciences												
Undergraduate	3,086	3,071	3,126	3,214	3,253	3,300	2,926	2,895	2,943	3,012	3,032	3,066
Taught postgraduate	1,180	1,208	1,215	1,302	1,318	1,307	923	906	907	973	989	979
Research postgraduate	401	393	425	440	449	455	388	385	412	421	429	433
Total	4,667	4,672	4,766	4,956	5,020	5,063	4,238	4,186	4,263	4,406	4,450	4,478
Faculty of Science												
Undergraduate	6,151	6,366	6,641	6,862	6,985	7,118	5,228	5,328	5,408	5,491	5,498	5,496
Taught postgraduate	788	781	759	851	884	927	549	526	501	529	582	603
Research postgraduate	826	882	880	900	924	949	794	831	838	858	880	902
Total	7,765	8,029	8,280	8,614	8,793	8,994	6,571	6,684	6,747	6,878	6,960	7,001
Auckland Bioengineering Institute												
Undergraduate	-	-	-	-	-	-	-	-	-	-	-	-
Taught postgraduate	1	-	-	-	-	-	1	-	-	-	-	-
Research postgraduate	79	97	100	108	122	137	75	90	97	104	118	134
Total	79	97	100	108	122	137	76	90	97	104	118	134
Liggins Institute												
Undergraduate	1	-	2	1	1	1	1	-	2	1	1	1
Taught postgraduate	1	2	2	-	-	-	1	2	2	-	-	-
Research postgraduate	46	47	58	66	70	75	46	47	57	64	68	73
Total	48	50	62	67	70	75	48	50	61	65	69	74
Other Academic Activities												
Undergraduate	382	377	363	616	701	727	252	228	257	326	330	330
Taught postgraduate	-	-	-	125	125	125	-	-	-	125	125	125
Research postgraduate	-	-	-	-	-	-	-	-	-	-	-	-
Total	382	377	363	741	826	852	252	228	257	451	455	455
University Total												
Undergraduate	25,210	25,399	25,747	26,364	26,694	27,034	21,917	21,854	21,910	22,051	22,124	22,241
Taught Postgraduate	5,224	5,422	5,465	6,044	6,270	6,349	3,835	3,776	3,675	4,078	4,274	4,308
Research postgraduate	2,932	2,984	2,996	3,083	3,173	3,235	2,815	2,857	2,878	2,955	3,037	3,097
Total	33,366	33,805	34,208	35,491	36,137	36,617	28,567	28,488	28,463	29,085	29,435	29,646

8.2

INTERNATIONAL						OTHER FUNDING SOURCE					
2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
160	176	183	202	221	234	-	-	-	-	-	-
42	46	62	64	64	64	215	256	246	265	265	264
12	7	13	19	20	22	1	2	-	-	-	-
214	228	258	285	306	320	216	257	246	265	265	264
923	1,038	1,233	1,371	1,487	1,623	-	-	-	-	-	-
203	213	225	281	302	324	36	42	33	42	-	-
32	52	42	43	44	47	-	-	-	-	-	-
1,158	1,303	1,500	1,694	1,833	1,993	36	42	33	42	-	-
-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-
4	7	3	3	3	3	-	-	-	-	-	-
4	7	3	3	3	3	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-
-	-	1	2	2	2	-	-	-	-	-	-
-	-	1	2	2	2	-	-	-	-	-	-
117	139	95	100	100	100	13	11	11	190	271	297
-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-
117	139	95	100	100	100	13	11	11	190	271	297
3,280	3,534	3,827	4,123	4,299	4,496	13	11	11	190	271	297
1,118	1,334	1,496	1,641	1,730	1,777	271	311	294	325	266	264
116	125	118	128	136	138	1	2	-	-	-	-
4,514	4,993	5,441	5,892	6,165	6,411	284	324	305	515	537	561

8.2

TEC Risk Profile

The TEC Financial Monitoring Framework assesses financial performance and risk in terms of viability and sustainability. The framework is made up of traditional financial ratios and trend and variability measures. The results of each of the measures and ratios are then assigned a score and the overall score is an average of these.

The scores are 0 to 5 and they correspond to high, low or minimal risk. A score of 5 is associated with minimal risk, with 3 being low risk and any score below 3 moderate to approaching high risk.

The University's financial performance has historically derived predominantly low risk scores or better in respect of TEC risk criteria. The 2018, 2019 and 2020 financial performance are significantly influenced by the impacts of the building reinvestment programme. This naturally leads to changes to the operating performance and position and the conversion of cash resources into long term assets and debt has a material impact on the ratios.

The financial conditions forecast for 2019 and budgeted for 2020 ensure the scores remain in the 'low risk' category overall, yet with some significant movements in ratios associated with debt and funding. These ratios are calculated assuming the current expected \$600m debt facility is available.

OPERATING SURPLUS / DEFICIT - 2

Council has determined that the University should aim to achieve a surplus of 4% of revenue. Competing pressures mean that the 2020 budget surplus is 2.5% of revenue. This moves for the first time into the 'moderate risk' band.

CORE EARNINGS - 5

The surpluses in recent years have been achieved in the face of rising depreciation costs. This naturally leads to an improvement in EBITDA. Core earnings remain at 15.1% of revenue and continue to rate as 'minimal risk'.

NET CASHFLOW FROM OPERATIONS - 5

The operating cash inflows as a percentage of outflows is also safely above the low risk minimum. A minimal risk 5 is expected to be maintained in 2020.

LIQUID FUNDS RATIO - 5

The standby facility is expected to be increased from \$300m in 2019 and these calculations assume the \$600m is available. This very adequately covers the 2019 and 2020 expected debt position. This ratio remains comfortably above 30% and in the minimal risk category.

INTEREST COVERAGE - 5

Interest costs remain negligible in 2020 and the ratio remains at minimal risk. All interest costs incurred in funding the property expansion program can be capitalised to the projects and therefore do not impact on this ratio.

QUICK RATIO - 5

The Quick Ratio rises to 6.2 and this demonstrates a clear ability to respond to short term cash pressures. This sits comfortably above the score of 1.5, required to achieve a moderate risk score of 3.

DEBT to DEBT PLUS EQUITY - 2

The anticipated borrowing position of \$290.5m drives a debt to debt plus equity ratio of 8.6% at the end of 2020 and this results in a higher risk score of 2. Achieving a low risk score against this ratio required debt to debt plus equity ratio of no more than 7.5%. At the budgeted equity level debt would need to be \$42m lower to achieve low risk.

RETURN ON FIXED ASSETS EMPLOYED - 3

Return on fixed assets employed remains broadly consistent with prior years at 5.4%. This continues to reflect a sound financial position with the score at low risk. Continued asset reinvestment and the impact of land and building revaluations could put pressure on this metric.

DEBT SERVICING – 0.5

This ratio compares surpluses to debt and requires debt to be no more than twice the surplus to remain in a low risk position. Debt of more than five times the surplus is tagged 'high risk'. For 2020 our budgeted net debt position approaches eight times our budgeted surplus and this increases from five times for the 2019 forecast.

TEC risk ratios	2017 Actual	2018 Actual	2019 Forecast	2020 Budget
Viability ratios				
Operating surplus to revenue score	3.4%	4.9%	3.3%	2.5%
Surplus before interest and depreciation to revenue score	15.2%	16.5%	15.1%	15.1%
Operating cash inflows to outflows score	120.9%	116.1%	119.1%	119.6%
Liquid Funds Ratio score	47.8%	31.9%	37.6%	31.8%
Interest coverage ratio score	381.0	884.4	303.6	240.3
Quick Ratio score	3.9	3.6	5.3	6.2
Average viability score	4.7	4.7	4.7	4.5
Sustainability ratios				
Debt to Debt plus Equity Ratio score	0.0%	1.6%	7.3%	8.6%
Achievement of EFTS / SAC funding	98.2%	97.2%	99.1%	100.0%
Three year average viability	4.7	4.7	4.7	4.6
Return on fixed assets employed score	6.1%	6.1%	5.3%	5.4%
Debt servicing ratio score	n/a	n/a	495.1%	782.0%
Average sustainability score	4.3	3.7	3.5	3.0

The table above details the ratios and scores

OVERVIEW

The average viability score maintains at just below 5 thus close to the minimal risk category. The Sustainability average declines slightly to 3.0, driven by the anticipated borrowing, and with this the University overall remains in the low risk category.

The sustainability average is however supported by the budget assertion that we would achieve our EFTS

target in 2020 and hence score 5 for the achievement of SAC funding allocation. Dropping below a low risk 5 on this measure would push the average of the sustainability measures below a low risk 3.

The University can be confident that there continues to be no grounds for Government to invoke the interventions available to it regarding institutions with high risk profiles or poor financial performance.

Capital Budget

With the completion of some very large projects and the Recreation and Wellness Centre still in the planning stage the 2020 capital budget is much lower than the previous years which saw the largest construction activity in the University's history.

The total capital expenditure provided for in the 2020 budget is summarised below:

Total Capex \$000	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Buildings & Property	77,385	121,289	258,744	359,072	368,369	166,172
Plant & Equipment	21,788	26,473	31,162	35,520	30,340	38,293
IT Infrastructure	23,643	23,458	15,457	21,032	20,940	18,700
Library Materials	16,392	15,720	14,028	13,982	16,050	14,500
UniServices	763	4,669	245	500	523	242
	139,971	191,610	319,637	430,106	436,222	237,907

Buildings & Property

With the Engineering redevelopment and Grafton Hall completed in 2019 and the new construction at 35 Whitaker Place and Grafton Park West completed in 2020 the budget for capital expenditure for 2020 drops considerably.

Major projects which form the Property Programme are provided for in the 2020 budget as detailed in the table on the right.

35 Whitaker Place

This is a challenging project in terms of both scale and location. This two tower catered accommodation development will provide 786 new catered beds and will be finished in two phases, phase one provides a majority of the additional capacity before the first semester of early 2020, with the second phase opening in the months thereafter.

Recreation and Wellness Centre

The preliminary design stage is complete and the project team are now working on detailed design. Demolition is due to begin in November 2019. The proposed new design features a 33 x 25m swimming pool and a substantially larger facility. The architectural symbolism of the Recreation Centre has it being "free to be energetic and sculpturally

powerful, contemporary and dynamically responsive by day and night".

The Maidment Theatre demolition site is fenced off at the moment but will be used as a base by contractors working on the new Recreation and Wellness Centre from 2020. The former theatre space on Alfred Street is likely to be part of a general refurbishment of the student Quad area in the future.

Education – Epsom, City & Manukau

Work is underway to identify relocation options for Education & Social Work activities from the Epsom Campus to the City Campus and to relocate the South Auckland activity into new premises following the termination of the arrangement with MIT.

A South Auckland lease has been secured and work to fit out the space for the purpose of teaching the Manukau programme has commenced. The relocation of Epsom operation to the city will require options analysis once concept plans and cost estimates are available.

Thomas Building

The Thomas Building project comprises a series of works to refit the Thomas Building level by level to serve the specific needs of Biology in the short term but ultimately with the aim for more generic use.

Building & Property \$000	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Engineering	18,400	26,127	82,325	112,184	115,054	13,415
Grafton Hall Redevelopment		13,660	36,947	4,670	7,232	400
35 Whitaker Place		9,473	31,933	92,946	90,423	30,743
Seismic Works	4,100	6,202	1,881	3,401	2,100	1,351
Thomas Refurbishment		9,348	10,605	14,176	10,103	12,368
Grafton Park West		7,898	44,656	83,325	85,931	21,950
Recreation Centre				17,696	17,950	30,399
Interim Recreation Centre				717		5,195
Clock Tower			10,655	1,131	3,103	125
44 Symonds Street refurb		10,802	10,025	453		
Exercise Science		8,211	7,293			
Sector 300 Strengthening				1,873	6,000	5,000
Education City				3,675		10,380
Manukau Relocation				3,700		2,300
CAI Design				2,017		2,260
Engineering 401/402 Tower						3,685
Other Property	54,885	29,568	22,424	17,108	30,473	26,601
	77,385	121,289	258,744	359,072	368,369	166,172

Tamaki-based SBS activity was successfully moved to the new level 1 of Thomas on 30th October, with the remainder of this level to be occupied in January 2020. The contract for fit-out of level 4 was awarded in late October with works to complete by mid-2020, paving the way for the project to be functionally complete before the end of the academic year.

8.2

Plant and Equipment

Plant and Equipment capital expenditure in the 2020 budget and historical expenditure is detailed below:

Plant and equipment \$000	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Faculties	17,109	23,081	28,125	24,565	24,665	28,102
MIRE	1,703		145	4,500	2,000	3,000
Library	207	826	587	1,800	1,236	1,072
Campus Life / Student Admin	2,569	2,216	2,077	4,355	2,139	5,769
Works of Art	200	350	228	300	300	350
	21,788	26,473	31,162	35,520	30,340	38,293

A change of policy sees the University purchasing computers outright rather than leasing. This saw an immediate increase in cash spent but these cashflow implications will equalise over a 3 to 4 year period. Included in the faculties for 2020 is \$1.1m for the Design School in Creative Arts and \$0.5m for equipment for the new Engineering building opening in 2020.

Shared Research Infrastructure (SRI) formerly known as MIRE - Major Items of Research Equipment is a provision to support purchases of research equipment

typically costing in excess of \$500k. In 2019 this was used for a \$1.6m microprobe and the purchase of metabolic cages in the Vernon Jensen Unit. Included in SRI for 2020 is a 3D printer to support the Additive Manufacturing Laboratory aligned with the Entrepreneurial Universities scheme.

Campus Life and Student Admin has approximately \$2m to spend on initiatives that contribute to achieving the Student Experience strategic objectives and \$2.7m for new fit out for some retail spaces

Digital Services

The information below summarises the Digital Services capital budget for 2020:

Digital Services \$000	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Core Infrastructure	10,231	8,689	7,013	11,084	11,210	10,036
Research Service & Support	624	3,475	1,718	1,913	1,488	2,673
Learning Management	1,512	1,728	1,712	2,495	2,081	1,445
Reporting & Business Intelligence	2,397	1,828	439	944	638	756
Organisation Performance	1,921	2,395	1,951	1,063	2,125	1,354
Supporting Services	1,107	2,901	755	484	805	451
Web and Mobile	3,154	191	771	882	595	298
Enterprise Applications	2,158	1,859	705	1,583	1,530	975
Service Management	315	349	393	586	468	712
Other Strategic Programmes	224	43				
	23,643	23,458	15,457	21,032	20,940	18,700

Infrastructure Services

The existing data centre infrastructure will be consolidated using a software-defined-data-centre (SDDC) approach. This consolidation will reduce complexity while enabling Connect to plan for removing a data centre in 2021/22. The wireless network will also be upgraded.

eResearch and Research Management

The eResearch infrastructure services will continue to be expanded both in size and availability across the University. Investment in the suite of processes and systems that support Clinical Research and Ethics continues in 2020. Successful completion of IRIS allows increased investment in maturing research and technical services and in simplifying budgeting processes for Principal Investigators.

Learning and Teaching

Support of the Learning & Teaching ecosystem will continue. Focus will be given to extending Computer

Based Examinations, Course Management and other strategic initiatives. Lecture theatre technology will continue to be refreshed to support the University's lecture recording goals.

Student and Academic Experience

Implementation of the Student Services Strategy is a priority for 2020, as is improving the Doctoral experience from applying to study through to candidate management. Other student-centric initiatives range from micro-credentials, short courses and badging to extending provision of digital assessments and computer based exams.

Enterprise strategic change

Investment in process automation continues in 2020, with Finance processes being a significant focus area. Other investments include support of the Te Reo Māori Policy, and the feasibility of migrating UniServices Finance to the University's systems.

Library Materials

The University's provision for Library Materials is divided between its capital and operating elements. The nature and duration of rights to access and use materials determines whether it is treated as purchased or leased. The provision has been traditionally established in total with the Library management choosing the mix of purchase and lease materials.

The Library materials allocation is maintained annually at the same level in real terms, allowing for price increases and exchange rate movements. This may result in the budget, in New Zealand Dollars,

either rising or falling, depending on the expected extent and direction of movement in exchange rates compared with inflation movements.

University Treasury Policy dictates that forward cover must be placed on known currency commitments. This eliminates foreign exchange risk and means that the University library budget is insulated from both rises and falls in currency for a period of more than a year.

The 2020 budget provision for library materials is as follows:

Library materials \$000	2016 Actual	2017 Actual	2018 Actual	2019 Forecast	2019 Budget	2020 Budget
Purchased materials (capex)	16,392	15,720	14,028	13,982	16,050	14,500
Periodicals (opex)			1,986	1,500		1,500
Leased materials (opex)	3,690	4,686	4,669	4,490	4,700	4,800
	20,082	20,406	20,683	19,972	20,750	20,800

An accounting treatment change to expense periodicals rather than capitalise and depreciate over a short period should have little bottom line impact over time.

Leases

In 2017 there was a policy change in the acquisition of computers, all equipment is now purchased rather than leased. In 2018 the leases were for vehicles used by the Education faculty in the delivery of the Professional Learning and Development programme. These services are no longer provided by the University.

Leases \$000	2016 Budget	2017 Budget	2018 Budget	2019 Budget	2020 Budget
Faculty Base Capex	4,317	5115	817	817	
Library (Equipment)	821	821			
Other non-Faculty	248	274			
	5,386	6,210	817	817	-

Financial Statements

Income Statement for the period ended 31 December	2017	2018	2019	2020
\$000s	Actual	Actual	Forecast	Budget
Teaching and Research				
Revenue				
TEC Funding	327,035	333,742	337,611	354,172
PBRF Income	88,988	94,142	92,900	93,823
Domestic fees	177,494	180,477	182,178	190,410
International fees	128,604	146,009	168,600	189,599
Other fees	6,206	5,756	5,245	5,232
Service income	7,354	7,241	6,522	4,585
Other income	4,763	4,148	4,686	3,520
Total revenue	740,445	771,515	797,741	841,342
Expense				
Academic salaries	210,984	219,393	226,608	242,872
Professional salaries	67,886	68,948	63,323	62,827
Salary related	19,367	22,544	20,556	20,676
Contracts for service	14,659	15,487	16,130	15,451
Other people costs	4,690	5,279	5,005	4,921
People costs	317,587	331,651	331,622	346,747
Operating expenses	38,688	38,360	40,399	39,368
Leases	3,829	2,757	1,310	1,722
Depreciation and amortisation	14,377	16,204	17,357	19,869
Total expense	374,481	388,972	390,687	407,707
T+R Contribution	365,965	382,543	407,054	433,635

Income Statement for the period ended 31 December	2017	2018	2019	2020
\$000s	Actual	Actual	Forecast	Budget
Externally funded research				
Total Revenue	279,924	287,191	299,413	301,204
Expense				
People costs	134,957	142,844	142,977	143,604
Operating expenses	86,892	88,033	116,759	121,323
Leases	2,495	2,672	1,613	-
Depreciation and amortisation	3,528	3,761	3,901	3,241
Total expense	227,873	237,310	265,250	268,168
EFR contribution	52,052	49,881	34,163	33,036
Other operating activities				
Revenue	129,065	143,539	150,676	155,843
Expense				
People costs	178,277	181,376	191,919	196,549
Operating expenses	197,478	187,012	199,852	215,386
Leases	21,082	35,738	36,248	40,036
Depreciation and amortisation	111,198	113,151	122,654	137,946
Total expense	508,034	517,277	550,672	589,917
OOA Contribution	(378,969)	(373,739)	(399,996)	(434,074)
Surplus	39,047	58,685	41,221	32,597

COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Balance Sheet as at 31 December \$000s	2017 Actual	2018 Actual	2019 Forecast	2020 Budget
Cash & bank	109,224	43,635	232	393
Short term investments - restricted	49,564	34,173	35,195	35,195
Receivables	52,501	68,799	65,149	63,655
Research Work in Progress	16,214	20,963	26,143	29,592
Derivative Financial Instruments	112	382	382	382
Inventories	1,959	1,947	2,012	2,012
Prepayments and other current assets	25,491	28,750	29,741	32,654
Current assets	255,065	198,649	158,854	163,881
Payables	141,500	136,974	142,051	123,796
Income In Advance	20,847	24,962	25,225	28,168
Tuition Fees In Advance	41,541	48,560	56,111	60,293
Research contract obligations	98,630	104,032	106,786	106,230
Loans & Borrowings	623	623	623	623
Employee Entitlements	56,974	61,667	63,343	65,714
Current liabilities	360,115	376,818	394,139	384,824
Working capital	(105,050)	(178,170)	(235,285)	(220,942)
Long term investments - restricted	31,019	31,221	31,332	31,483
Loans	-	259	52	52
Property, Plant & Equipment	2,825,299	3,224,952	3,503,858	3,575,987
Intangible Assets	31,457	27,293	34,581	39,303
Non-current assets	2,887,775	3,283,725	3,569,824	3,646,824
Employee Entitlements	56,083	59,162	62,089	65,658
Other	1,771	1,207	1,207	1,207
Loan Facility	-	50,000	239,500	290,500
Non-current Liabilities	57,854	110,369	302,796	357,365
Net assets	2,724,871	2,995,187	3,031,743	3,068,517

Balance Sheet as at 31 December \$000s	2017 Actual	2018 Actual	2019 Forecast	2020 Budget
General equity	1,283,591	1,340,085	1,384,806	1,416,724
Reserves	1,399,991	1,613,011	1,607,315	1,611,493
Trust & special funds	41,289	42,092	39,622	40,299
Equity	2,724,871	2,995,187	3,031,743	3,068,517

Statement of Cashflows for the period ending 31 December \$000s	2017 Actual	2018 Actual	2019 Forecast	2020 Budget
Cashflows from operating activities				
Government grants	427,286	473,059	447,047	462,791
Tuition fees	311,591	299,786	358,294	384,191
Other operating receipts	419,402	421,187	450,236	453,819
Goods and services tax	2,890	(1,996)	(1,402)	(3,322)
Payments to employees	(567,717)	(592,954)	(597,700)	(612,303)
Other operating payments	(392,362)	(433,518)	(455,616)	(472,761)
Net cash provided by (used in) operating activities	201,090	165,565	200,859	212,414
Cashflows from investing activities				
Interest received	6,785	8,449	3,292	1,779
Advances made	-	(66)	-	-
Investments	6,484	1,360	83	(151)
Property, plant and equipment and work in progress	(185,674)	(305,322)	(435,276)	(264,866)
Net cash provided by (used in) investing activities	(172,405)	(295,579)	(431,902)	(263,237)
Cashflows from financing activities				
Loan repaid	(880)	(630)	-	-
Interest paid	-	(125)	(136)	(136)
Net cash provided by (used in) financing activities	(880)	(755)	(136)	(136)
Net increase / (decrease) in cash and cash equivalents	27,805	(130,769)	(231,179)	(50,960)
Cash and cash equivalents at the beginning of the year	131,144	158,787	27,807	(204,073)
Effects of exchange rate changes on cash	(162)	(211)	(701)	120
Cash and cash equivalents at the end of the financial year	158,787	27,807	(204,073)	(254,912)

Reconciliation of the net surplus from operations with the netcash flows from operating activities \$000s	2017 Actual	2018 Actual	2019 Forecast	2020 Budget
Net surplus for the year	39,047	58,685	41,221	32,597
Add / (less) non cash items	127,231	132,476	145,667	160,937
Depreciation and amortisation	129,103	133,116	143,912	161,057
Donated assets	(60)	(7)	(0)	-
Foreign exchange fluctuation	162	9	673	(120)
Other non-cash items	(1,974)	(642)	1,083	-
Changes in net assets and liabilities	41,781	(5,037)	17,662	(10,613)
(Increase) / decrease in receivables	1,063	(16,821)	3,650	1,495
(Increase) / decrease in prepayments & other current assets	(3,002)	(3,261)	(991)	(2,913)
(Increase) / decrease in inventories	(209)	12	(65)	-
(Increase) / decrease in research work in progress	(3,760)	(4,749)	(5,180)	(3,449)
Increase / (decrease) in payables and provisions	16,164	(4,526)	5,077	(18,255)
Increase / (decrease) in income in advance	17,594	16,536	10,567	6,569
Increase / (decrease) employee entitlements	13,932	7,772	4,604	5,940
Add / (less) items classified as investing activities	(9,445)	(20,699)	(3,828)	29,357
Interest income	(6,666)	(6,488)	(3,372)	(1,779)
(Gain) / loss on sale of fixed assets	2,483	301	4,502	11,885
Movement in working capital relating to investing	(5,262)	(14,512)	(4,958)	19,251
Add/ (less) items classified as financing activities	2,477	139	136	136
Finance Costs	102	139	136	136
(Increase)/decrease in convertible loan	2,375			
Net cash flow from operating activities	201,090	165,565	200,859	212,414
Net surplus for the year	39,047	58,685	41,221	32,597
Non-cash items	127,231	132,476	145,667	160,937
(Gain) / loss on sale of fixed assets	2,483	301	4,502	11,885
Underlying Operating Cashflow	168,760	191,462	191,390	205,419



8.2

Annual Plans and KPIs: Academic Activities

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Faculty of Arts

Arts Overview

The Faculty of Arts has continued to consolidate its position as New Zealand's leading comprehensive faculty specialising in the humanities, social sciences, global cultures, languages, and Māori Studies and Pacific Studies. After several years of work on renewing our flagship BA degree and introducing new programmes, we have seen modest growth in student numbers and have achieved a more stable financial position.

Achieving key objectives

Key objective 1:

Enhance the reputation of the faculty's research in terms of impact, external funding and international rankings.

Significant achievements and major challenges:

The faculty has continued to grow its external research revenue and saw significant improvements in its PBRF results. The faculty also successfully launched 13 new research hubs to promote cross-disciplinary research collaborations both within the faculty, across the wider University and external academic community.

The next challenge is to continue the momentum to enhance overall research excellence in the faculty and further improve our international rankings and reputation. To this end, the faculty needs to further develop a research culture in which we more clearly articulate our research strengths and impact, as well as increase the quality and quantity of research outputs. The faculty also needs to strengthen its capacity with, and become a leader in, Vision Mātauranga.

Strategic initiatives to improve/maintain performance and address challenges:

- Academic staff will be encouraged to clearly articulate individual research identities to promote areas of expertise, inform future ADPRs, promotion and study leave applications and PBRF evidence portfolios, and facilitate greater media contact.
- A new research mentoring programme will be launched, focusing on new staff and those staff who would benefit from refreshing and enhancing their research agendas.

- The faculty will seek to build new sources of research income by developing relationships with charitable foundations and overseas partner institutions.
- The faculty will implement a new ranking strategy to maximise the faculty's performance in the 'Academic Reputation' rankings category, by increasing the pool of staff's academic contacts (collaborators, peers, alumni, former doctoral students) and/or alumni working outside of academia submitted to QS each year as potential referees.
- The faculty will build Vision Mātauranga capacity amongst researchers via a series of seminars, workshops and podcasts so that researchers can share their experiences with Vision Mātauranga as exemplars and inspiration for others.

Key objective 2:

Continue efforts to enhance the learning and teaching experience of students at undergraduate level.

Significant achievements and major challenges:

The faculty introduced Ako Arts and Arts+ in 2019: new initiatives which aim to improve the learning and teaching experience and lift student achievement and retention (especially among Māori and Pacific students). After a positive pilot year, the Faculty will extend and refine these programmes, as well as launching the Early Start International programme designed to assist the successful transition of international students.

The faculty also needs to address the challenge of delivering high-quality capstone project experiences for Arts Scholars and Global Studies students - while maintaining sustainable workload capacity among academic colleagues to supervise such projects.

Strategic initiatives to improve/maintain performance and address challenges:

- Eight-to-ten new courses will be selected across Semesters 1 and 2, 2020 for inclusion in the Ako Arts initiative, with Kaiako Teaching Assistants again employed to help embed Māori and Pacific world views and whanaungatanga into course content and delivery.
- The faculty will also conduct a review of the effectiveness of, and student satisfaction with, the Ako Arts methodologies by engaging Colmar

Brunton to conduct a qualitative study among the lecturers and students participating in the Ako Arts pilot in both 2019 and 2020.

- The faculty will implement an 'extended first semester' for new international students - through an Early Start International programme - to help with their personal and academic acclimatisation to study at The University of Auckland, so as to enhance their chances of success and retention.
- Explore ways to incentivise academic staff to mentor students engaged in capstone projects, and consider expanding capstones to more majors within the BA.

Key objective 3:

Establish, implement and embed new faculty values as a means of fostering a more respectful, supportive and inclusive culture among the faculty's staff and students.

Significant achievements and major challenges:

As seen in the results of the 2019 Staff Survey, the faculty has made progress in many areas to address issues of staff morale and wellbeing. However, we have faced many challenges arising from the gender-based harassment of female colleagues, the academic staffing review within CLL in 2018, and following the Christchurch Mosque attacks in 2019 that have contributed to some negative trends within the faculty. The formation of Te Rōpū Whakamana Tangata has helped provide guidance and leadership around incidents and issues of major concern in the short-term, but a longer-term approach is required if the Faculty is to create a more positive, nurturing environment for all staff and students.

Strategic initiatives to improve/maintain performance and address challenges:

- Te Rōpū Whakamana Tangata will lead the development of a set of values that will inform all aspects of faculty life, from our teaching and learning practices to broader relationships among staff and students. This work will include facilitating discussions and education around unconscious bias, gender-based harassment, racism, homophobia, transphobia, and hate speech.
- These values will also be the basis for developing and testing a training module for Arts students (potentially to become a compulsory course for

all students). This module would make use of both in-class and online media, incorporating an understanding of University policy, an exploration of values/kaupapa, applied ethics/tikanga, and support through mentoring/awhi.

- The faculty will provide dedicated training for staff and GTAs on managing conflict in tutorials and equity awareness.
- The faculty will build upon efforts in 2019 to develop and deliver training for staff on how to recognise and respond appropriately to reports and incidents of gender-based harassment, with the continuing roll-out to staff acting as 'first responders' scheduled for the end of 2019.

Faculty of Arts	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	5,075	5,125	5,196
Teaching and research (\$000)			
TEC tuition subsidies	29,380	29,563	30,180
PBRF funding	9,647	9,647	9,803
Tuition fees - domestic	24,078	24,334	24,855
Tuition fees - international	16,410	19,277	21,797
Other Revenue	566	684	601
Total Revenue	80,082	83,505	87,236
Academic salaries	28,756	29,300	31,242
Professional salaries	5,701	5,200	5,143
Other people costs	4,084	3,398	3,388
Total people costs	38,541	37,898	39,774
Operating expenses	2,949	3,094	3,530
Depreciation and lease costs	959	914	903
Occupancy	5,912	5,937	6,560
Total expenditure	48,361	47,843	50,766
Contribution	31,721	35,661	36,470
Externally funded research (\$000)			
Revenue	12,434	13,301	13,300
Revenue - overhead recoveries	1,990	2,231	2,342
Overheads and reimbursements - UniServices	286	173	-
	14,711	15,706	15,641
People costs and operating expenses	13,189	14,523	14,206
Depreciation, lease costs and occupancy	383	481	397
Contribution	1,139	702	1,038

Faculty of Arts	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	3,164	6,680	5,443
People costs	796	1,005	847
Other costs	1,974	5,185	4,230
Total Expenditure	2,770	6,190	5,077
Contribution	395	491	366
All activities			
Total contribution	33,255	36,853	37,874
Teaching and research (\$ per EFTS)			
Total revenue	15,781	16,295	16,789
People costs	7,595	7,395	7,654
Operating expenses	581	604	679
Depreciation and lease costs	189	178	174
Occupancy	1,165	1,159	1,262
Contribution	6,251	6,959	7,019

Financial commentary
EFTS & Revenue

The Faculty has budgeted for lower domestic EFTS at Undergraduate level in 2020 compared to 2019 Actuals. While enrolments within newer programmes such as Global Studies have been increasing, there have been lower enrolments in the more traditional Arts courses in recent years, and given the enrolment pipeline impacts this creates, has resulted in nett lower projections into future years at Undergraduate level. EFTS within General Education courses in the Faculty decreased during 2019 and numbers have been projected to stabilise at the new level. Postgraduate Taught numbers in 2019 increased by 15 percent in comparison to 2018 levels, and these EFTS have been budgeted to stabilise at these new levels into next year. International EFTS in 2019 increased by over 11 percent compared to 2018, both at undergraduate and postgraduate taught levels. At Postgraduate level, this was mainly due to increased demand in programmes such as the Masters in Public Policy and in Postgraduate TESOL

programmes. The Faculty anticipates further increases in international enrolments, particularly at the Undergraduate level in 2020, at percentage levels similar to those of seen this year.

The Faculty, in conjunction with Auckland Online, will be launching a fully modular, online version of the Masters in Public Policy, to commence in early 2020.

In 2018, the Faculty introduced a Bachelor in Global Studies programme, the only New Zealand University offering a programme of this nature. After a soft launch in 2018, intakes into the programme in 2019 exceeded programme limits, and further cohort growth is anticipated for 2020. The Arts Scholars Programme, which has the aim of increasing the appeal of the Bachelor of Arts to high achieving School Leavers, is continuing to successfully meet target enrolments. From 2020, the Faculty is investing in Undergraduate scholarships for school leavers from lower decile Auckland schools, looking to further strengthen relationships with key schools in the region.

Expenditure

Two new staffing appointments have been made within Global Studies, who will start in early 2020. There are also staffing hires in the areas of Communication, Criminology, New Zealand History, Sociology and Te Reo Maori currently in progress.

Externally Funded Research

Externally Funded Research has continued to grow in 2019 compared to prior years, and this momentum looks set to continue. The Faculty is projecting Overhead growth for EFR projects based within Schools of more than 5 percent, and Revenue growth by 8 percent in 2020, compared to 2019 Budget.

The Faculty's Research centre COMPASS is projecting stable revenue and overheads, while revenues within Nga Pae o te Maramatanga are expected to increase, compared to 2019.

All Activities

The North Asia Centre of Asia Pacific Excellence (CAPE), and the Conservation Lab, are the main contributors to the Faculty's Other Operating Activities. The activities of the North Asia CAPE are expected to total \$4.6 million during 2020.

Faculty of Arts	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	68	68	69	69	+/-5 70	+/-5 70
Academic staff (FTE)						
Total academic	247	247	251	255	257	256
Staff in a significant academic role (SAR)	198	192	193	196	197	197
High quality researchers						
PBRF A	37	40	48	48	48	48
PBRF B	90	89	103	103	103	103
PBRF CNE	12	8	8	8	8	8
Māori academic staff (%)	7	7	8	≥ 9	≥ 9	≥ 9
Pacific academic staff (%)	5	5	5	≥ 5	≥ 5	≥ 5
Senior positions - women (%)	46	46	47	≥ 45	≥ 45	≥ 45
Professional staff (FTE)						
Total professional	104	116	108	110	110	110
FTE funded through teaching and research	85	87	77	78	79	79
Māori professional staff (%)	15	13	14	≥15	≥15	≥15
Pacific professional staff (%)	7	9	5	≥ 9	≥ 9	≥ 10
Senior positions - women (%)	56	54	61	≥60	≥60	≥60

Faculty of Arts	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	46	50	49	50	51	51
All EFTS						
A focus on quality rather than growth: Total (EFTS)	5,102	5,075	5,125	5,196	5,227	5,218
Domestic Undergraduate	3,860	3,811	3,774	3,740	3,701	3,665
Taught postgraduate	295	242	281	306	346	352
Research postgraduate	343	356	329	342	342	343
Total	4,497	4,409	4,384	4,389	4,390	4,360
Intl full fee Undergraduate	523	554	616	672	694	708
Taught postgraduate	68	103	119	130	137	143
Research postgraduate	14	9	6	6	7	7
Total	605	666	741	808	838	858
Māori % (as percentage of domestic)	10	9	10	10	10	11
Pacific % (as percentage of domestic)	17	17	17	17	17	17
New enrolments (EFTS)						
Total new	1,468	1,518	1,516	1,581	1,612	1,602
New domestic Undergraduate (1N)	875	903	877	873	871	860
Taught postgraduate	274	235	261	275	293	281
Research postgraduate	89	107	75	81	79	78
Total	1,238	1,245	1,214	1,230	1,243	1,219
New intl full fee Undergraduate (1N)	151	162	181	218	230	237
Taught postgraduate	66	103	117	128	135	140
Research postgraduate	14	9	5	5	5	6
Total	230	273	303	351	369	383
Doctoral new enrolments (headcount)						
Doctoral - local (residency)	34	27	46	37	45	47
Doctoral - overseas (residency)	32	37	38	37	38	40
Total new doctoral	66	64	84	75	84	86

Faculty of Arts	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality (%)						
Proportion of courses with an evaluation score of 80% or more	65	73	70	=> 75	=> 80	=> 80
Students expressing satisfaction with overall university experiences (%)	93	94	92	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates) (%)						
Domestic	84	84	84	86	86	86
International	91	90	91	93	93	93
Māori domestic	79	79	79	80	81	81
Pacific domestic	68	68	70	73	75	77
1N Māori domestic	74	74	80	80	81	82
1N Pacific domestic	61	67	68	69	71	72
First-year retention (undergraduate)						
% new domestic students retained	82	85	84	85	86	87
% new international students retained	89	86	89	89	89	89
Value added to people's lives: outcomes						
Total qualifications awarded	1,949	1,986	1,779	1,800	1,850	1,875
Doctorates awarded	43	38	45	45	47	50
Qualifications awarded - taught masters	157	162	160	170	180	185
Qualifications awarded - research masters	128	135	135	115	110	110
Qualifications awarded to Māori	147	146	99	125	150	175
Qualifications awarded to Pasifika	162	193	165	175	200	200
Employment	-	93	93	+/- 90	+/- 90	+/- 90

Faculty of Arts	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per significant academic role FTE	0.6	0.7	0.5	0.5	0.5	0.5
Doctoral EFTS per significant academic role FTE	1.2	1.3	1.3	1.3	1.3	1.3
Quality assured publications per significant academic role FTE	3.4	4.3	3.6	3.7	3.8	3.9
Weighted quality assured publications and creative works	667	826	700	750	775	800
Striving for a better world (sustainable institution)						
Global standing						
QS World University ranking						
Cultures, Languages and Linguistics	42	41	46=	≤ 45	≤ 45	≤ 40
Humanities	29	29	38	≤ 35	≤ 35	≤ 30
Māori and Pacific Studies	51-100	51-100	51-100	51-100	51-100	51-100
Social Sciences	16	10	23	≤ 20	≤ 20	≤ 15
Financial (\$m)						
Total revenue (\$m)	90	96	104	106	97	97
International fee revenue (\$m)	15	16	19	22	23	25
Domestic fee revenue (\$m)	24	24	24	25	25	26
Total External Research Income (includes commercial contracts) (\$m)	5	14	13	13	5	5
Teaching & research contribution (\$m)	33	32	36	37	38	39

Faculty of Business and Economics

Overview

The University of Auckland Business School students face a dynamic and global business environment. Technological advancements have meant significant changes for the world of business, with the disruption of industries and emerging career paths requiring new employment models and enhanced skill sets. These are shifting the nature and role of universities and business schools.

Our purpose at the Business School is to shape futures. We aim to shape our graduates' futures and the future of work by inspiring and enabling our students to be innovative and independent thinkers who become strong, adaptable and collaborative ethical contributors and leaders. We have a responsibility to equip them with the knowledge, mindsets, skills, capabilities and resilience required to achieve their potential.

Through our research, we aim to shape the future of businesses and organisations by developing and sharing new ideas, knowledge and insights. Research that influences practice can lead to high-impact leadership, sustainable business processes, and greater productivity – both domestically and internationally.

As the nature of work continues to evolve and industry boundaries become increasingly blurred, our research and teaching must reflect this cross-disciplinary approach if they are to shape the future. The connection between business education and industry is critical, and we must strengthen our engagement with industry to collaborate on research, thought leadership, curriculum development, and work-integrated learning.

We must also experiment with design and delivery using new learning approaches and technologies. Evolving digital behaviours have already led to changing learner preferences and an increase in demand for lifelong learning that is more self-directed, accessible and time-critical. The Business School should play an important role in meeting new demand for retraining and upskilling.

In this increasingly dynamic, technology-driven and globalised world, it is our challenge to remain distinctive and competitive: to deliver excellent research with relevance and impact, and to provide high-quality, research-led programmes that enable our graduates to succeed. In turn, our research and teaching will lead to a stronger New Zealand economy with global outreach.

Achieving key objectives

Key objective 1:

Relevant, distinctive, high-quality education

Goals:

- A distinctive, high-quality curriculum – review programme curriculum to improve alignment with delivery of new Graduate Profile capabilities.
- Innovative programme design with flexible delivery methods – identify new programmes and majors that respond to trends/shifts in market demand.
- A talented and diverse student body – develop clear programme pathways linked to career outcomes, and improve retention/completion rates.
- A high-quality, intellectually challenging learning experience – adopt innovative technologies and approaches that support inclusive, experiential learning.

KPIs:

- Quality, quantity and diversity of students – 10% growth in proportion of international students recruited from outside China by 2022.
- Achieve 95% retention rate for UG programmes.
- Graduate employment rates – Business Masters graduate employment rates > 85%.
- Student satisfaction and engagement surveys – improvement in student satisfaction.
- Quantity and quality of PGR enrolments and research outputs, funding and scholarships – annual growth rate of 1% in PG enrolments.

Key objective 2:

Research with relevance and impact

Goals:

- A talented and well-supported faculty, active in research – support early career researchers through research development opportunities and incentivising quality outputs.
- A growing output of high-quality research – develop initiatives that support research productivity and promote collaboration through targeted funding allocations.
- Research outcomes with high impact and value – strengthen engagement with NZ and

international business, government, Māori and external stakeholders.

KPIs:

- Quality and quantity of research outputs and outcomes – improvement in PBRF performance, FRDF applications, and external research income.
- International reputation – establish strategic collaborations with international business schools.

Key objective 3:

A transformative student experience

Goals:

- A well-supported student body with the resilience to succeed – provide a coordinated first-year experience to assist students with a smooth transition from school to university.
 - A transformative extracurricular experience – provide extracurricular activities that equip students with the skills, networks, experience and mind-set to succeed.
 - A spirit of innovation and entrepreneurship – offer programmes covering all stages of the innovation journey from ideation to launch.
 - A comprehensive Executive Education and lifelong learning offering – create long-term partnerships by working with organisations to co-create an integrated and innovative suite of offerings.
- ##### KPIs:
- Student satisfaction and engagement surveys – improved participation rates and ratings.
 - Graduate destination surveys – improved employment rates.
 - Student participation in career and engagement activities – increase in participation rates.
 - Student participation in CIE activities – increase in participation rates.
 - Executive Education and lifelong learning relationships – integrated solutions offered to 10 organisations by 2023.

Key objective 4

Enduring, beneficial relationships

Goals:

- High-impact relationships with the business community – enhance how we engage with external stakeholders – review our events, sponsorship and communication strategies.

- Highly engaged and well-informed secondary schools – promote the value of a business education; deliver targeted business career events and case competitions.
- An actively engaged alumni and community that adds value – enhance the student experience by increasing opportunities to engage with alumni and use social media to support an online community.

KPIs:

- Number of high-quality external collaborations and partnerships.
- Number of secondary schools engagement events.
- Number of engaged alumni, domestic and globally.
- Achievement of annual development targets – grow, diversity and sustain the revenue base to support Business School activities.

Operational risks

The most significant risks are:

- Enrolment shortfalls, especially international PG headcount.
- Dependence on a single market (China) for the bulk of international enrolments.
- Further domestic UG decline, due to demographic changes and shifts in student preferences to STEM, Global Studies and Communications.
- Inability to recruit, retain or develop academic staff with awareness of changing business environments and the implications for teaching and research.
- Accreditation outcomes are unfavourable.
- Teaching spaces are not sufficiently flexible to support group and technology supported work in preparing future ready graduates.

Prioritisation of resources

Faculty resources are reviewed and prioritised at the annual Executive Team strategic retreat, and subsequent discussions at regular Executive team meetings.

Resource allocation is detailed in the School's 2020 budget, which is developed through discussions with the HoD's, Associate Deans and divisional managers. Each academic department has identified goals, specific activities, key measures of success, and resource implications for the period 2020-2022.

Faculty of Business and Economics	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	5,794	5,739	5,785
Teaching and research (\$000)			
TEC tuition subsidies	28,993	28,332	27,678
PBRF funding	5,055	5,055	5,153
Tuition fees - domestic	26,173	25,605	25,801
Tuition fees - international	48,148	53,720	58,085
Other revenue	2,981	2,476	1,971
Total revenue	111,349	115,188	118,688
Academic salaries	30,567	32,052	33,517
Professional salaries	8,520	7,880	7,290
Other people costs	4,508	4,144	4,065
Total people costs	43,595	44,076	44,871
Operating expenses	9,107	8,859	9,201
Depreciation and lease costs	1,440	1,144	1,043
Occupancy	6,382	7,020	7,446
Total expenditure	60,524	61,099	62,561
Contribution	50,825	54,088	56,127
Externally funded research (\$000)			
Revenue	2,944	2,194	2,067
Revenue - overhead recoveries	798	417	327
Overheads and reimbursements - UniServices	18	(0)	(0)
	3,760	2,610	2,394
People costs and operating expenses	3,136	2,398	2,268
Depreciation, lease costs and occupancy	1	1	2
Contribution	623	211	124

Faculty of Business and Economics	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	4,719	5,065	5,073
People costs	3,330	3,098	3,057
Other costs	1,443	1,872	1,727
Total Expenditure	4,774	4,970	4,784
Contribution	(54)	96	289
All activities			
Total contribution	51,393	54,395	56,540
Teaching and research (\$ per EFTS)			
Total revenue	19,217	20,070	20,515
People costs	7,524	7,680	7,756
Operating expenses	1,572	1,544	1,590
Depreciation and lease costs	248	199	180
Occupancy	1,101	1,223	1,287
Contribution	8,772	9,424	9,701

Financial commentary

EFTS & Revenue

EFTS for 2020 have been set at 5,785, rising marginally over the 2019 forecast reflecting continuing growth in international enrolments. The international postgraduate taught programme has new specialisations for 2020.

The 2019 enrolment saw further declines in domestic numbers but new undergraduate enrolments are more stable. New undergraduate enrolments over the 2020 to 2022 period respond to this stabilisation, which ultimately reduces contractions in the rest of the undergraduate cohort over time. The domestic undergraduate declining trend has also been factored into the budget.

The unfavourable domestic fee revenue variance is mainly driven from the declining enrolments in domestic undergraduate. The increase in international

enrolments has offset some of the loss of the overall fee income due to the domestic EFTS however overall contribution will be ahead of target for T&R.

Expenditure

Recruitment of some academic positions have been deferred to 2020 with some expected not to be secured until semester two. Short term resources are in place to cover in 2019. This combined with savings from long term vacant positions ensures the 2019 T&R contribution is in line to deliver ahead of the budgeted position.

There is also have a number professional and academic staff vacancies currently being recruited. Some of these hires won't be finalised until early 2020. The professional salaries drop over both 2019 and 2020 as IT and Finance staff have been centralised during this year. Operating expenditure is on track relative to budget.

Externally Funded Research

EFR is tracking fairly well and above budget in terms. For the past 3 years Business and Economics has had consecutive Marsden grant wins which lead to the growth in research income. Current research revenue is tracking slightly over budget in terms of revenue for 2019.

Unfortunately no new large grants were awarded to the Faculty in 2019 ultimately leading to reduced funded research outputs.

Some philanthropic funding through the UoA Foundation is purposed for research and has been included in our revenue numbers. The research

outlook for 2020 to 2022 will depend on Public Good success rates, and inter Faculty research collaborations as either PI or AIs.

Other Operating Activities

Overall, the Faculty expects to achieve the 2019 budgeted contribution. Research is on track to deliver slightly ahead of budget in both revenue and contribution. Executive Education, NZLI and Unleash are slightly under in terms of revenue. The outlook for Executive Education revenue is close to budget for 2019 and there are several initiatives being worked on that are likely to shape financial outcomes from late 2020.

Faculty of Business and Economics	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	79	79	77	77	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	239	246	244	245	245	245
Staff in a significant academic role (SAR)	159	159	166	167	167	167
High quality researchers						
PBRF A	24	27	24	24	24	24
PBRF B	60	53	58	58	58	58
PBRF CNE	23	15	27	27	27	27
Māori academic staff (%)	4	4	3	≥ 5	≥ 5	≥ 5
Pacific academic staff (%)	2	2	2	≥ 5	≥ 5	≥ 5
Senior positions - women (%)	30	33	34	≥ 33	≥ 35	≥ 35
Professional staff (FTE)						
Total professional	142	142	128	128	128	128
FTE funded through teaching and research	126	117	106	106	106	106
Māori professional staff (%)	6	6	8	≥ 8	≥ 9	≥ 9
Pacific professional staff (%)	8	8	8	≥ 8	≥ 9	≥ 10
Senior positions - women (%)	63	66	68	≥ 65	≥ 65	≥ 65

Faculty of Business and Economics	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	46	47	46	48	50	50
All EFTS						
A focus on quality rather than growth: total (EFTS)	5,828	5,794	5,739	5,785	5,798	5,808
Domestic Undergraduate	3,783	3,660	3,561	3,512	3,495	3,497
Taught postgraduate	379	347	315	325	338	334
Research postgraduate	145	131	133	126	128	127
Total	4,307	4,138	4,009	3,962	3,960	3,958
Intl full fee Undergraduate	1,083	1,128	1,173	1,200	1,206	1,203
Taught postgraduate	412	512	542	605	631	645
Research postgraduate	7	4	2	2	2	1
Total	1,503	1,643	1,717	1,806	1,838	1,850
Māori % (as percentage of domestic)	6	6	6	7	7	7
Pacific % (as percentage of domestic)	8	9	9	≥ 10	≥ 10	≥ 10
New enrolments (EFTS)						
Total new	1,960	2,012	2,004	2,086	2,120	2,117
New domestic Undergraduate (1N)	913	887	865	860	860	860
Taught postgraduate	341	313	288	295	306	303
Research postgraduate	11	7	5	4	5	5
Total	1,266	1,207	1,157	1,160	1,171	1,167
New intl full fee Undergraduate (1N)	281	296	312	330	330	330
Taught postgraduate	406	506	533	595	618	619
Research postgraduate	7	3	1	1	1	1
Total	694	805	846	926	949	950
Doctoral new enrolments (headcount)						
Doctoral - local (residency)	18	8	14	16	20	21
Doctoral - overseas (residency)	29	14	29	24	25	25
Total new doctoral	47	22	43	40	45	46

Faculty of Business and Economics	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	51	56	65	=> 65	=> 70	=> 70
Students expressing satisfaction with overall university experiences (%)	96	96	92	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	89	89	89	90	90	90
International	90	92	91	92	92	92
Māori domestic	85	85	86	86	87	87
Pacific domestic	76	74	72	75	77	79
1N Māori domestic	79	81	82	82	83	83
1N Pacific domestic	74	70	67	70	71	72
First-year retention (undergraduate)						
% new domestic students retained	89	88	89	90	90	91
% new international students retained	95	95	96	95	95	95
Value added to people's lives: outcomes						
Total qualifications awarded	2,120	2,098	2,222	2,200	2,200	2,200
Doctorates awarded	28	25	25	25	25	25
Qualifications awarded - taught masters	281	334	350	350	360	360
Qualifications awarded - research masters	23	18	20	15	15	15
Qualifications awarded to Māori	105	91	122	125	130	140
Qualifications awarded to Pasifika	99	111	101	125	125	125
Employment	-	96	96	+/-5 95	+/-5 95	+/-5 95

Faculty of Business and Economics	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per significant academic role FTE	0.1	0.1	0.0	0.0	0.0	0.0
Doctoral EFTS per significant academic role FTE	0.8	0.8	0.8	0.7	0.7	0.7
Quality assured publications per significant academic role FTE	2.5	2.8	2.4	2.5	2.6	2.7
Weighted quality assured publications and creative works	392	441	400	425	450	460
Striving for a better world (sustainable institution)						
Global standing						
A high performing institution: QS World University ranking						
Accounting and Finance	37	41	51-100	51-100	≤ 50	≤ 50
Graduate School of Management	51-100	43	51-100	51-100	≤ 50	≤ 50
Management and International Business	51-100	43	51-100	51-100	≤ 50	≤ 50
Marketing	51-100	43	51-100	51-100	≤ 50	≤ 50
Property	51-100	43	51-100	51-100	≤ 50	≤ 50
Economics	51-100	51-100	51-100	51-100	51-100	51-100
Commercial Law	36	29	44	≤ 40	≤ 40	≤ 35
Information Systems and Operations Management	51-100	51-100	51-100	51-100	≤ 50	≤ 50
Financial (\$m)						
Total revenue (\$m)	113	119	122	126	129	132
International fee revenue (\$m)	43	48	54	58	61	63
Domestic fee revenue (\$m)	27	26	26	26	26	27
Total External Research Income (includes commercial contracts) (\$m)	1	2	2	2	2	2
Teaching & research contribution (\$m)	48	51	54	56	59	61

Faculty of Creative Arts and Industries

Overview

The Faculty of Creative Arts and Industries (CAI) continues its mission to deliver excellence in teaching, research, creative practice and performance, while providing exceptional value to our stakeholders. In 2020-2022, the faculty will consolidate our collective vision, promote our shared values and aspirations, be responsive to an ever-changing future, increase collaboration with creative partners, and enhance our public profile.

Achieving key objectives

Key objective 1:

Academically robust and culturally and professionally relevant programmes

Significant achievements and major challenges:

- Several new programmes are under development to enhance student employability and relevance to industry. They include the Bachelor of Urban Planning (Honours), the Master of Urban Planning, and reformulation of the existing Bachelor of Fine Arts.
- The new Bachelor of Music curriculum was implemented in 2019.
- The approved Bachelor of Design will launch in 2020. Four staff, including the Programme Director, are now on board. The space fit-out and technical procurement are progressing well. A successful marketing campaign has attracted significantly more applications than projected. Collaboration with other faculties around conjoint degrees has been productive. Space could be a constraint from 2022 onwards should enrolments exceed targets.
- A new Master of Design degree is being developed.
- A new degree of Masters in Dance and Movement Therapy will commence in semester 1 2020.
- CAI Dance Studies and the Beijing Dance Academy commenced a Joint Bachelor of Community Dance with the first intake of students in July 2019.
- The move from a 480 points Bachelor of Fine Arts (BFA) (Hons) to a 360 points BFA will result in the loss of PG funding. Enrolments into the new 180 points Master of Fine Arts will offset this financial

challenge as Elam aims to regain market share from competitors.

- Postgraduate enrolments are low in some schools and the postgraduate student experience is variable.

Strategic initiatives to improve/maintain performance and address challenges:

- A 2020 launch of the Bachelor of Design, and the commencement in July 2019 of a joint Bachelor of Community Dance with the Beijing Dance Academy.
- A review of named doctorates in Music and Fine Arts, and promotion of PhDs in creative practice in all schools and programmes.
- Improved recruitment, retention and progression rates in postgraduate programmes.
- An initiative to improve supervision practices across the faculty, and the introduction of Postgraduate Student and Staff forum twice per semester.
- CUAP approval and curriculum design of the BFA, MFA and MDes degrees.
- Enhanced international student/staff exchanges and recruitment agreements with CPIT Ahmedabad (Architecture), U Taipei (Planning) BDA (Dance) TUNA (Dance and Music) and University of Central Asia (all disciplines).
- Consolidation of the Futuremakers website as a resource for teaching entrepreneurial skills in programmes. Exploration of a cross-faculty diploma in professional practice.
- Liaison with Aga Khan Development Network to develop cross-cultural academic initiatives.
- An enhanced marketing campaign

KPI that measures the achievement of the objective:

Achieve/exceed EFTS, targets. Meet our targets for pass rates, student evaluations and retention targets.

Key objective 2:

Financial sustainability for all schools and programmes

Significant achievements and major challenges:

- Applications to the new Bachelor of Design are trending above projections.

- Dance Studies occupied a refurbished Elam B in 2019. Fine Arts has fully recovered its extension funding.
- The restructured Bachelor of Music has attracted good student evaluations, and applications are trending positively. However, the transition to the restructured programme combined with a demographic dip, is presenting challenges for the School of Music.
- We achieved our campaign target of raising 6.8 million in philanthropic funds.
- CAI's budget is influenced by negative demographic trends and necessary restructuring of academic offerings. Efforts continue to grow EFTS increase ERI and reduce expenditure continue.

Strategic initiatives to improve/maintain performance and address challenges:

In 2020, priority will be given to resourcing and facilitating the implementation of the Design programme. Focus will shift from curriculum to research and industry partnerships, and philanthropic support.

KPI that measures the achievement of the objective:

Achieve/exceed all our EFTS targets. Controlling costs generally. Meeting the UoA contribution.

Key objective 3:

To improve CAI as a workplace and address issues of culture and diversity

Significant achievements and major challenges:

- In 2019, CAI established a Diversity Committee to address issues of staff age and gender, ethnicity and culture, mental health and well-being. A wellbeing programme was developed for professional staff.
- The faculty culture project has translated into improved staff survey results. Business Continuity Plan has been completed. There have been improvements in Health and Safety practice and compliance within the faculty.

Strategic initiatives to improve/maintain performance and address challenges:

CAI will continue to prioritise diversity in recruitment of students and staff and work to enhance tolerance and collegiality. Including:

- Rolling out unconscious bias training for senior school and programme staff.
- A faculty-wide wellbeing and workload project in response to the 2019 staff survey focussing on Health Safety and Wellbeing at Elam.
- Establish a Sustainability Committee to improve the faculty carbon footprint and reduce research, travel and accommodation budgets.
- Continue to build leadership capability through the University Leadership Framework and initiatives.
- Developing library spaces as informal study recreation/space for students.

The AD(T&L) will undertake research into the 'Student Voice', using international benchmarking to define means of best practice, in concert with the 2020/21 Academic Audit process.

KPI that measures the achievement of the objective:

Continuous evaluation of outcomes for a better sense of wellbeing and engagement across the faculty.

Operational risks

The primary risks are resource-conscious management of programmes; meeting EFTS targets; budgets to resource all faculty business and deliver on academic priorities, new academic initiatives and Health & Safety.

Prioritisation of resources

Staff recruitment for design; marketing of identified programmes; ensuring appropriate teaching spaces through effective capital resourcing; ensuring funding to grow research capability and all other strategic faculty initiatives.

Faculty of Creative Arts and Industries	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	1,694	1,657	1,733
Teaching and research (\$000)			
TEC tuition subsidies	17,341	17,292	17,391
PBRF funding	5,678	5,678	5,901
Tuition fees - domestic	9,655	9,411	9,956
Tuition fees - international	5,692	6,655	7,883
Other revenue	438	242	172
Total revenue	38,805	39,279	41,303
Academic salaries	12,873	13,384	14,103
Professional salaries	4,049	3,797	4,151
Other people costs	1,962	2,056	1,950
Total people costs	18,884	19,237	20,205
Operating expenses	2,233	2,611	2,762
Depreciation and lease costs	1,049	1,041	1,256
Occupancy	6,637	6,509	9,158
Total expenditure	28,804	29,398	33,381
Contribution	10,001	9,881	7,922
Externally funded research (\$000)			
Revenue	1,260	1,051	156
Revenue - overhead recoveries	216	139	31
Overheads and reimbursements - UniServices	1	-	-
	1,477	1,190	187
People costs and operating expenses	1,347	1,270	342
Depreciation, lease costs and occupancy	2	6	8
Contribution	127	(86)	(163)

Faculty of Creative Arts and Industries	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	35	26	29
People costs	30	31	31
Other costs	22	32	42
Total Expenditure	53	63	73
Contribution	(18)	(37)	(44)
All activities			
Total contribution	10,111	9,759	7,716
Teaching and research (\$ per EFTS)			
Total revenue	22,914	23,708	23,840
People costs	11,151	11,611	11,662
Operating expenses	1,319	1,576	1,594
Depreciation and lease costs	620	628	725
Occupancy	3,919	3,929	5,286
Contribution	5,906	5,964	4,573

Financial commentary

EFTS and Revenue

At Creative Arts and Industries overall EFTS enrolments have proved challenging with a small reduction on the previous year level achieved. In the 2019 year the Faculty is forecasting enrolments of 1,660 EFTS. International EFTS enrolments have supported EFTS target achievement and also generated positive revenue variances in most disciplines. It is expected that EFTS enrolments will improve from 2020 to 1,730 EFTS and over the 3 year period to 2022 will increase to 1,850 EFTS, largely driven by the new design programme planned as part of the Elam School of Fine Arts programme offerings.

The School of Architecture and Planning has performed well over recent years however enrolments have reduced in 2019. It is expected that the revised Bachelor of Urban Planning Honours programme scheduled to commence in 2021 will attract additional enrolments to the School. The combined Masters programmes continue to enjoy strong

enrolment interest. Significant efforts have been made to maintain current enrolment levels at Elam School of Fine Arts, however it is expected that there will be some impact from the new design programme. In 2018 the School of Music restructured the Bachelor of Music, more closely aligning the programme with current music industry requirements, with student enrolments expected to respond to the changes over time. Dance Studies will enrol a number of students at undergraduate level through a dual bachelor agreement and postgraduate research enrolment trends remaining strong.

CAI has worked consistently to reverse negative EFTS trends and to now grow EFTS in the longer term in line with approved Academic Portfolio Strategy initiatives. There will be a continued focus on attracting enrolments in all areas of domestic undergraduate and also internationally through the maintenance and development of international networks. There will also be a focus on building enrolments strategically in areas of strength across postgraduate offerings.

Expenditure

Academic salaries in 2020 reflect known position commitments across all disciplines, including a number of vacant roles as well as buyout amounts where known. Professional staff salaries and FTE numbers continue to be held at close to agreed Faculty Administration Review levels. Elam School of Fine Arts has been provided with continued financial support in 2020. The new design programme is planned to commence in semester one 2020 with an undergraduate intake. Budget funding has been provided in the 2020 year to cover staffing requirements and other operating expenditure.

Externally Funded Research

CAI has had a research presence over recent years largely supported by the National Science Challenge (NSC) as well as some contestable funding awards from the NSC and a number of other small awards, all winding up during the 2019 year. The national NSC based activities will be scaled down over the coming year and the budget for 2020 reflects the significance of the end of the current NSC contract.

Faculty of Creative Arts and Industries	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	74	74	71	71	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	107	108	109	114	117	121
Staff in a significant academic role (SAR)	82	79	82	86	88	92
High quality researchers						
PBRF A	13	9	17	17	17	17
PBRF B	47	41	47	47	47	47
PBRF CNE	6	3	2	2	2	2
Māori (%)	6	7	7	≥ 8	≥ 8	≥ 8
Pacific (%)	2	2	2	≥ 2	≥ 2	≥ 2
Senior positions - women (%)	41	39	39	≥ 40	≥ 40	≥ 40
Professional staff (FTE)						
Total professional	60	63	58	60	62	64
FTE funded through teaching and research	60	61	54	57	59	61
Māori professional staff (%)	6	3	2	≥ 2	≥ 2	≥ 2
Pacific professional staff (%)	7	9	8	≥ 9	≥ 9	≥ 9
Senior positions - women (%)	64	69	67	≥ 65	≥ 65	≥ 65

Faculty of Creative Arts and Industries	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	69	67	69	70	70	70
All EFTS						
A focus on quality rather than growth: total (EFTS)	1,694	1,694	1,657	1,733	1,785	1,850
Domestic Undergraduate	1,011	996	957	989	1,017	1,082
Taught postgraduate	227	231	222	237	248	239
Research postgraduate	291	284	273	274	281	278
Total	1,529	1,511	1,452	1,500	1,546	1,599
Intl full fee Undergraduate	109	130	138	152	158	173
Taught postgraduate	34	29	39	50	46	46
Research postgraduate	21	24	27	31	35	32
Total	164	182	205	232	239	251
Māori % (as percentage of domestic)	8	8	7	9	9	9
Pacific % (as percentage of domestic)	10	10	9	10	10	10
New enrolments (EFTS)						
Total new	786	791	746	810	822	811
New domestic Undergraduate (1N)	267	280	239	274	283	291
Taught postgraduate	221	226	219	234	238	229
Research postgraduate	198	194	184	176	182	178
Total	687	700	643	684	702	697
New intl full fee Undergraduate (1N)	44	39	38	46	39	39
Taught postgraduate	34	29	39	49	46	44
Research postgraduate	21	23	26	31	35	30
Total	99	91	103	126	120	114
Doctoral new enrolments (headcount)						
Doctoral - local (residency)	17	15	9	15	18	18
Doctoral - overseas (residency)	13	10	6	10	10	11
Total new doctoral	30	25	15	25	28	29

Faculty of Creative Arts and Industries	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	56	62	70	=> 70	=> 75	=> 75
Students expressing satisfaction with overall university experiences (%)	92	91	87	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	93	93	93	95	95	95
International	94	96	96	96	96	96
Māori domestic	90	88	88	92	92	92
Pacific domestic	82	81	82	84	85	85
1N Māori domestic	98	87	86	90	90	90
1N Pacific domestic	75	78	72	80	82	84
First-year retention (undergraduate)						
% new domestic students retained	92	91	87	90	91	92
% new international students retained	83	100	80	90	90	90
Value added to people's lives: outcomes						
Total qualifications awarded	456	607	666	675	675	675
Doctorates awarded	9	17	15	20	22	24
Qualifications awarded - taught masters	25	34	40	40	45	45
Qualifications awarded - research masters	156	241	180	200	200	200
Qualifications awarded to Māori	42	34	60	50	60	70
Qualifications awarded to Pasifika	28	35	41	50	60	70
Employment	-	93	93	+/-5 90	+/-5 90	+/-5 90

Faculty of Creative Arts and Industries	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	2.8	2.9	2.7	2.5	2.6	2.4
Doctoral EFTS per SAR FTE	1.1	1.1	1.0	1.0	1.0	1.0
Quality assured publications per SAR FTE	4.5	5.7	5.2	5.3	5.4	5.5
Weighted quality assured publications and creative works	363	435	425	450	475	475
Striving for a better world (sustainable institution)						
Global standing						
A high performing institution: QS World University ranking						
Architecture and Planning	51-100	51-100	51-100	51-100	51-100	51-100
Fine Arts	51-100	51-100	51-100	51-100	≤ 50	≤ 50
Dance	-	51-100	51-100	51-100	51-100	≤ 50
Music	-	51-100	51-100	51-100	51-100	≤ 50
Financial (\$m)						
Total revenue (\$m)	38	40	40	41	43	45
International fee revenue (\$m)	5	6	7	8	8	9
Domestic fee revenue (\$m)	10	10	9	10	10	11
Total External Research Income (includes commercial contracts) (\$m)	1	1	1	-	-	-
Teaching & research contribution (\$m)	10	10	10	11	11	12

Faculty of Education and Social Work

Overview

The faculty's 2020-2022 Plan focuses on (re)creating a solid foundation; stabilising and growing the EFTS base, particularly undergraduate. The decline in enrolments led to a 2018 staffing review, and a number of academic staff redundancies. In 2019, staff dissatisfaction was manifested in dramatically reduced engagement scores across both academic and professional staff. Work will be undertaken to address concerns about workload for academic staff.

In Semester 2, 2019, the faculty welcomed the first cohort of international students into the BEd(TESOL) from Chinese partner institutions. The faculty has signed additional agreements with Chinese universities to increase the intake in 2020 and is focussing on other Asian countries, including India, Vietnam and Malaysia.

Two proposals for philanthropically funded centres were developed: one in Refugee Studies, and the other in Creativity Education, if approved, these new centres will join the Woolf Fisher Research Centre.

The faculty's commitment to Te Tiriti and equity builds upon significant work completed over the last two years in developing staff knowledge of te reo and tikanga. The newly developed strategic objectives for the faculty describe how genuine partnership with Māori and Pacific colleagues and students will be prioritised.

In 2020, work will continue on the relocation of the faculty from Epsom to the City, as well as making decisions about optimum provision at Tai Tokerau.

Achieving key objectives

Key objective 1:

Secure EFTS growth and stability through the delivery of relevant and accessible courses and programmes, and through coherent and effective approaches to retention and success.

Strategic initiatives to improve/maintain performance and address challenges:

1. Roll out new ITE courses that model contemporary, evidence-based pedagogy and effective integration of digital tools.
2. Partner with Auckland Online to offer the Master of Educational Leadership.
3. Deliver courses to complete a Master of Education Practice by distance.

4. Improve student success in stage one courses and retention into stage two.
5. Smooth transition of faculty from MIT Otara Campus to the University's South Auckland Campus.

KPI that measures the achievement of the objective:

- At least two MEdPrac courses per semester delivered for distance students.
- Improved pass rates in Stage I PASS courses
- Develop and implement an effective tracking process to monitor stage one Māori and Pasific student early engagement.

Key objective 2:

Strengthen the faculty's PGR provision in order to improve the quality of our research training and achieve greater alignment between staff and student research interests

Strategic initiatives to improve/maintain performance and address challenges:

1. Improve quality of research training and achieve greater alignment between staff and student research interests.
2. Offer seminars and workshops aimed at broadening understanding of relevant research methodologies.
3. Develop workshops to support teaching efficiencies and students' learning.

KPI that measures the achievement of the objective:

- A student recruitment plan is presented to the operational leadership team
- A timetable of next semester's seminars and workshops is available at the end of the semester.

Key objective 3:

Increase international EFTS and international engagement.

Strategic initiatives to improve/maintain performance and address challenges:

1. Develop an undergraduate ITE programme in Early Childhood Education for international student recruitment.
2. Engage academic staff in research-led short course delivery.

3. Enable outbound international experience for students.

KPI that measures the achievement of the objective:

- ITE programme is submitted in time for CUAP round one, 2020.
- At least one additional articulation agreement is secured.
- At least one 'academic-led' short course is offered in 2020.
- Targets for micro-credentialing are developed.
- Targets for COPOS and COPEX 2020=65, 2021=70.
- Measures are established for outbound student mobility.

Key objective 4:

Strengthen faculty research impact and funding.

Strategic initiatives to improve/maintain performance and address challenges:

1. Establishment of two faculty research centres, in Refugee Studies and Creativity Education
2. Effective academic staff and postgraduate student research profiles.
3. Develop, trial and promote a set of faculty-specific guidelines for optimising research impact.
4. Strengthen faculty's relationship with UniServices to facilitate its engagement with academic staff and maximise funding.

KPI that measures the achievement of the objective:

- A sub-fund of FRDF is allocated to cross-University research projects, to be promoted and allocated annually
- Internal and external visibility of faculty research and research collaborations is enhanced.

Key objective 5:

Ensure that the faculty is responsive to its obligations under Te Tiriti o Waitangi, and to equity considerations and cultural diversity.

Strategic initiatives to improve/maintain performance and address challenges:

1. Develop, in consultation with Ngāti Whātua o Ōrākei, a plan for engagement with the hapū.

2. Develop staff recruitment principles and practices that are explicit about Te Tiriti and equity considerations.

KPI that measures the achievement of the objective:

- A well-developed plan for engagement with hapū
- Review recruitment principles and practices and recommendations made to Director HR.

Key objective 6:

Consolidate the Reinvalidate and reposition the faculty post-Academic Staffing Review, (re) creating a solid foundation on which to thrive.

Strategic initiatives to improve/maintain performance and address challenges:

1. Develop a long-term academic plan that identifies new teaching and research opportunities.
2. Review the faculty's workload model and associated business processes.
3. Leverage campus moves for Manukau and Epsom, and potential campus realignment/expansion at Tai Tokerau, to enhance future teaching and learning facilities.
4. Roll out selected initiatives based on responses to the 2019 staff survey.

KPI that measures the achievement of the objective:

- A set of key baseline staff morale measures is developed from the staff survey and shifts are monitored.

Key objective 7:

Improve male student participation in initial teacher education programmes in order that the proportions of graduates of these programmes more closely mirrors the proportions in the communities we serve.

Strategic initiatives to improve/maintain performance and address challenges:

1. Develop a philanthropically-funded in-school experience programme for former students of key boys' schools.

KPI that measures the achievement of the objective:

- In-school experience programme is developed and piloted.
- Male applicant numbers are monitored (2019=15%, 2020=20%, 2021=30%).



8.2

Faculty of Education and Social Work	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	2,468	2,318	2,364
Teaching and research (\$000)			
TEC tuition subsidies	21,302	21,062	20,189
PBRF funding	6,370	6,370	6,554
Tuition fees - domestic	12,872	12,055	12,385
Tuition fees - international	3,033	4,380	5,110
Other revenue	1,178	1,027	719
Total revenue	44,755	44,894	44,957
Academic salaries	19,405	17,886	17,432
Professional salaries	5,706	4,967	4,992
Other people costs	3,424	2,649	2,782
Total people costs	28,535	25,503	25,206
Operating expenses	2,520	2,396	2,402
Depreciation and lease costs	528	535	621
Occupancy	6,859	5,108	6,276
Total expenditure	38,443	33,542	34,505
Contribution	6,312	11,352	10,452
Externally funded research (\$000)			
Revenue	4,561	4,684	3,571
Revenue - overhead recoveries	860	916	487
Overheads and reimbursements - UniServices	1,359	61	-
	6,780	5,661	4,058
People costs and operating expenses	5,415	4,883	3,554
Depreciation, lease costs and occupancy	328	211	70
Contribution	1,037	567	434

Faculty of Education and Social Work	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	10,767	2,907	2,638
People costs	9,780	3,475	3,413
Other costs	2,229	1,176	1,108
Total Expenditure	12,009	4,650	4,521
Contribution	(1,242)	(1,743)	(1,883)
All activities			
Total contribution	6,107	10,176	9,002
Teaching and research (\$ per EFTS)			
Total revenue	18,137	19,364	19,019
People costs	11,564	11,000	10,663
Operating expenses	1,021	1,033	1,016
Depreciation and lease costs	214	231	263
Occupancy	2,780	2,203	2,655
Contribution	2,558	4,896	4,422

Financial commentary

EFTS and Revenue

2020 will see the commencement of new 150 point graduate diplomas in teaching early childhood education, primary and secondary alongside a reinvigorated bachelor of education degree with a higher emphasis on practicum and te reo and tikanga. The Faculty is targeting 300 students in the graduate diploma of secondary teaching in line with a Government priority to address shortfalls in this area.

2020 will see the first enrolments in the online Master of Educational Leadership which has been developed in association with Auckland Online. The Master of Education Practice is also able to be completed remotely for the first time in 2020 targeting qualified teachers with a choice of flexible learning opportunities to develop their knowledge and expertise in the context of their practice, it is hoped both these programmes will broaden the Faculty's ability to reach a wider market across NZ.

International enrolments in the Bachelor of Education (Teaching) degree increased in 2019 and the Faculty is expecting similar levels of enrolment in 2020 along with the pipeline impact of these students boosting international tuition fee revenue. Alongside this the second year of the Bachelor of Education (Teaching English to Speakers of Other Languages) partnership with Zhuhai College, Taiyuan and Wuhan Universities of Technology, will also see international tuition fees increase.

Expenditure

An academic staffing review was completed late in 2018 which has resulted in savings of \$1.5m in 2019 and \$2.0m in 2020 compared to 2018 costs. Work will continue to making efficiencies in the delivery of undergraduate and graduate diploma course offerings, with staffing resource being re-directed into areas of demand, including redirection to postgraduate and practicum visiting where possible. The Faculty aims to manage staff as efficiently as possible in order to maintain delivery and enhance strategic advantage.

Professional staff costs have reduced in 2019 and 2020 in line with recently completed changes in IT Connect and One Finance.

Externally Funded Research

Externally funded research has had a small decline compared to previous years. The Faculty continues to work with the Manaiaikalani Education Trust to continue to assess educationally significant outcomes for students. The Faculty has also had recent success with Rutherford Discovery Fellowships, one which commenced in 2019 and another in 2020.

Other Operating Activities

Other operating activities includes domestic and international short course offerings through the Kohia Centre and the Centre for Learning and Research in Higher Education.



COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Faculty of Education and Social Work	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	80	80	74	74	+/-5 75	+/-5 75
Academic staff (FTE)						
Total academic	189	181	162	165	170	173
Staff in a significant academic role (SAR)	146	143	121	123	127	130
High quality researchers						
PBRF A	21	14	25	25	25	25
PBRF B	44	47	48	48	48	48
PBRF CNE	17	10	14	14	14	14
Māori (%)	14	14	15	≥ 15	≥ 15	≥ 15
Pacific (%)	5	6	6	≥ 6	≥ 7	≥ 7
Senior positions - women (%)	60	63	62	≥ 65	≥ 65	≥ 65
Professional staff (FTE)						
Total professional	123	124	100	102	105	107
FTE funded through teaching and research	82	83	69	70	72	74
Māori professional staff (%)	12	13	13	≥ 13	≥ 14	≥ 14
Pacific professional staff (%)	6	6	9	≥ 10	≥ 10	≥ 10
Senior positions – women (%)	73	69	70	≥ 70	≥ 70	≥ 70

Faculty of Education and Social Work	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	20	27	23	24	25	26
All EFTS						
A focus on quality rather than growth: total (EFTS)	2,587	2,468	2,318	2,364	2,434	2,480
Domestic Undergraduate	1,474	1,315	1,239	1,144	1,148	1,165
Taught postgraduate	716	753	659	770	805	824
Research postgraduate	273	273	253	261	269	269
Total	2,462	2,341	2,151	2,175	2,222	2,258
Intl full fee Undergraduate	57	59	88	117	139	149
Taught postgraduate	59	61	75	69	69	69
Research postgraduate	9	7	4	4	4	3
Total	125	127	168	189	212	222
Māori % (as percentage of domestic)	15	15	15	16	16	16
Pacific % (as percentage of domestic)	20	20	20	21	21	21
New enrolments (EFTS)						
Total new	976	980	967	1,020	1,040	1,045
New domestic Undergraduate (1N)	340	288	298	303	318	323
Taught postgraduate	543	596	545	597	597	595
Research postgraduate	11	20	17	23	25	25
Total	894	904	860	922	940	943
New intl full fee Undergraduate (1N)	20	17	33	31	33	34
Taught postgraduate	53	52	69	64	64	64
Research postgraduate	9	7	4	3	3	3
Total	82	76	106	99	100	102
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	31	24	32	33	40	41
Doctoral – overseas (residency)	35	18	44	37	38	40
Total new doctoral	66	42	76	70	78	81

8.2

Faculty of Education and Social Work	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	59	64	69	=> 70	=> 75	=> 80
Students expressing satisfaction with overall university experiences (%)	98	96	92	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	90	90	91	92	92	92
International	93	94	94	95	95	95
Māori domestic	88	86	80	90	90	90
Pacific domestic	80	80	80	83	86	86
1N Māori domestic	82	81	79	82	83	84
1N Pacific domestic	70	72	71	80	80	80
First-year retention (undergraduate)						
% new domestic students retained	82	79	80	82	84	86
% new international students retained	57	75	89	90	90	90
Value added to people's lives: outcomes						
Total qualifications awarded	1,169	1,090	1,050	1,000	1,000	1,000
Doctorates awarded	34	30	50	60	60	60
Qualifications awarded - taught masters	88	91	90	90	90	90
Qualifications awarded - research masters	48	47	45	45	45	45
Qualifications awarded to Māori	151	124	81	125	150	150
Qualifications awarded to Pasifika	167	175	154	175	200	200
Employment	-	98	98	+/- 95	+/- 95	+/- 95

Faculty of Education and Social Work	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per significant academic role FTE	0.3	0.3	0.3	0.3	0.3	0.3
Doctoral EFTS per significant academic role FTE	1.6	1.7	1.8	1.8	1.8	1.8
Quality assured publications per significant academic role FTE	3.9	3.9	4.1	4.2	4.3	4.4
Weighted quality assured publications and creative works	568	544	500	550	560	570
Striving for a better world (sustainable institution)						
Global standing						
A high performing institution: QS World University ranking						
Centre for Learning and Research in Higher Education	20	17	26	≤ 25	≤ 25	≤ 20
Counselling, Human Services and Social Work	20	17	26	≤ 25	≤ 25	≤ 20
Critical Studies in Education	20	17	26	≤ 25	≤ 25	≤ 20
Curriculum and Pedagogy	20	17	26	≤ 25	≤ 25	≤ 20
Learning, Development and Professional Practice	20	17	26	≤ 25	≤ 25	≤ 20
Te Puna Wānanga	20	17	26	≤ 25	≤ 25	≤ 20
Financial (\$m)						
Total revenue (\$m)	63	61	53	51	53	54
International fee revenue (\$m)	3	3	4	5	6	6
Domestic fee revenue (\$m)	13	13	12	12	13	13
Total External Research Income (includes commercial contracts) (\$m)	13	3	5	4	3	3
Teaching & research contribution (\$m)	9	6	11	12	13	14

Faculty of Engineering

Engineering overview

The Faculty of Engineering's focus over the period of 2020-2022 and the next decade, is to maximise the impact of research and providing an excellent student experience. We aim to achieve this by having a strong foundation of collectively supporting and developing our colleagues in the Faculty and the wider University, while working collaboratively with multiple stakeholders. This new period marks the delivery of the new building, which is an expanding opportunity towards the continuous delivery of our strategic goals.

Achieving key objectives

Key objective 1:

To maximise our research impact by investigating high risk/return technological approaches and applications that have the potential to have both fundamental and applied impacts.

Significant achievements and major challenges:

The implementation of IRiS Phase 3 brought a new technical services model. The transition into this new model continues to be a priority. Further work is required in relation to the growth model in both the Research Support and Technical space.

The building project will require a leadership focus on how the new facility is leveraged to enhance teaching and research impact.

Additionally, how we recognise non-traditional research impact is an important component of our research strategy. As part of this work, the Faculty has drafted guidelines related to impact measures that expand on traditionally applied academic metrics such as bibliometrics and will seek to finalise practise notes on this topic.

In collaboration with the Faculty of Science and supported by both TEC, MBIE and Philanthropic funding we have launched Te Pūnaha Ātea (the Auckland Space Institute) combined with continued growth in the NIP and Additive Manufacturing laboratories.

The Faculty is actively engaging with Māori and fostering partnerships to further authentic research collaborations with iwi, Māori owned businesses and authorities.

Finally, the ongoing invigoration of the Newmarket Campus is an important project to foster a community of staff and students who are well supported and able to engage with external stakeholders. Strategic initiatives to improve/maintain performance and address challenges:

Project 5: Technician support and development to support a key group of staff.

Project 6: Implementation of an industry engagement strategy.

Project 7: The further development of the Newmarket Innovation Precinct (NIP), and an increase in the number of companies interacting with academics through the structures and processes facilitated in the NIP.

Project 8: Development of cross-disciplinary and cross-faculty research programmes.

Project 9: Continue to implement our Vision Mātauranga Strategy to enhance and expand research collaborations with Māori.

KPI that measures the achievement of the objective:

- Successful research funding applications to Public Good Science funders will have a 25% success rate by 2026
- Increase the proportion of academic staff that have on-going relationships with New Zealand businesses
- Increased numbers of businesses or R&D units working with the Newmarket Innovation Precinct

Key objective 2:

To deliver an excellent student experience by empowering talented students with the core techniques for solving problems, within an environment that creates opportunity for innovation and leadership.

Significant achievements and major challenges:

The B402 Multi-Disciplinary Learning Spaces (MDLS) marked the start of a transformation process to support the teaching and learning transformation.

The Faculty has invested in 10 Champion courses to support this transition into this new way of teaching. These learnings will be continued through the new spaces in B405.

Measurement and documentation of teaching performance is a significant achievement in the faculty that is now being used to address teaching and learning related issues.

We are engaging with Māori and Pacific students to understand how we can better address challenges. There is a growing engagement with Māori students, through programmes like Genesis There are granted PhD scholarships for both Māori and Pacific students.

At close to 30% of women in Engineering as of 2019 (up from 23% in 2013), the Faculty benchmarks strongly across the Go8.

Strategic initiatives to improve/maintain performance and address challenges:

Project 2: The Faculty has created a staffing model for both Academic Staff and Professional Staff. We're currently in the process of adopting a Technical staff model. Further work is needed to develop a resourcing model for Research Support staff.

Project 3: Further implementation and dissemination of the Faculty Teaching and Service Load Model.

Project 4: Continuing to enhance Student Journey and improve overall experience.

Project 11: We are supporting 10 champion courses to embrace new pedagogical approaches and take advantage of the new teaching spaces.

Project 12: Continue with the Curriculum Restructure project for the transition to active teaching.

KPI that measures the achievement of the objective:

- Significant reduction in red-flagged courses by 2020
- Core body of knowledge content is delivered efficiently and students spend more time on mission-based active learning
- Continued strong employability of undergraduate with 85% placement of graduating class into engineering careers in New Zealand or overseas
- Increased diversity among undergraduate and postgraduate cohorts
- Increase of Māori and Pacific achievement rates

- Increase of proportion in women enrolment in undergraduate programmes reaching 33% by 2020.

Operational risks

As the University grows in student numbers, an analysis of students' growth impact on space availability would be extremely beneficial.

Increased Māori and Pacific potential students in New Zealand, particularly in Auckland, may lead us to re-think our marketing and positioning. Simultaneously, the development of a South Auckland campus may take time to come to fruition, particularly garnering support and credibility within/ from the Pacific community.

In the international space, the concentration of recruitment in one country exposes the University to political, economic, currency and reputational risks.

Prioritisation of resources

With the current and foreseen student growth, resources will need to be allocated to academic staff related to bigger teaching commitments, and professional staff to provide support.

The Newmarket Innovation Precinct will continue to be a priority, now looking at the governance and administration structure. Finally, the target of increasing participation and success of women in engineering will require an innovative approach. Both these strategies will also result in the commitment of resources.

Faculty of Engineering	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	3,989	4,198	4,263
Teaching and research (\$000)			
TEC tuition subsidies	44,295	47,030	50,695
PBRF funding	9,981	9,981	10,190
Tuition fees - domestic	23,991	25,315	26,630
Tuition fees - international	22,208	24,922	26,408
Other revenue	3,362	2,192	1,268
Total revenue	103,837	109,440	115,191
Academic salaries	21,559	23,034	24,800
Professional salaries	11,426	10,554	11,003
Other people costs	3,365	3,294	3,177
Total people costs	36,351	36,881	38,980
Operating expenses	9,027	9,129	8,973
Depreciation and lease costs	3,744	3,917	4,737
Occupancy	13,422	15,182	17,941
Total expenditure	62,543	65,109	70,631
Contribution	41,294	44,331	44,560
Externally funded research (\$000)			
Revenue	23,619	29,510	32,288
Revenue - overhead recoveries	5,804	6,355	7,958
Overheads and reimbursements - UniServices	644	58	-
	30,067	35,923	40,246
People costs and operating expenses	24,050	31,947	35,883
Depreciation, lease costs and occupancy	81	112	-
Contribution	5,936	3,864	4,362

Faculty of Engineering	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	1,015	1,833	1,844
People costs	598	901	959
Other costs	619	972	951
Total Expenditure	1,217	1,873	1,909
Contribution	(202)	(39)	(65)
All activities			
Total contribution	47,028	48,156	48,858
Teaching and research (\$ per EFTS)			
Total revenue	26,033	26,070	27,024
People costs	9,113	8,786	9,145
Operating expenses	2,263	2,175	2,105
Depreciation and lease costs	939	933	1,111
Occupancy	3,365	3,616	4,209
Contribution	10,353	10,560	10,454

**Financial commentary
EFTS and Revenue**

The Faculty expects 2020 will be a challenging year, as EFTS growth drops from 5% p/a to closer to 1%, on the back of reducing demand for domestic spaces in Part 1, and as research supervision reaches effective capacity for high demand departments such as Civil & Environmental and Mechanical Engineering. Demand is still strong in the international postgraduate space, with application volumes increasing by as much as 11%, although growth in this area is constrained by space and consequently teaching staff – when the new building opens we will exceed capacity. Level 3 & 4 enrolments in the BE(Hons) are expected to increase compared to 2019 based on undergraduate entry in prior years. Part 1 international applications have increased strongly, but primarily from non-traditional markets that the University may struggle to convert to enrolment.

To address the decline in domestic EFTS, we are considering accepting students with a lower GPE in conjunction with a support programme in place to assist this cohort. This will require additional resourcing which will need to be funded from philanthropic funds, as no allocation has been made in the budget.

Expenditure

We continue to refine/enhance the Faculty’s teaching load model (TLM) which has historically been used to determine academic resourcing requirements. For 2020 we have incorporated technicians into the TLM due to their intrinsic link with teaching as well as taking the opportunity to coincide this change in resourcing allocation with IRiS phase 3, ensuring alignment with the overall university strategy.

As for 2019, we have been unable to resource academics to the requirements of the TLM, with the most noticeable shortfall in Civil and Environmental

given the growth in the demand for the GSE - resourcing has been allocated to reflect this, albeit within the constraints of the funding model. The Faculty shortfall is however an improvement on 2019, and we are working towards full resourcing in time, noting that there will always be the requirement to include an element of casual staff to enable the ability to adapt to changing EFTS. We have increased the number of permanent technicians (in line with the TLM/outcome of IRiS phase 3) by approximately 5 FTE, there is also an overall increase in the grading of staff (and hence budget) due to the position alignment process.

2020 sees the move to the new building and the full roll out of the Multi-Disciplinary Learning Spaces MDLS (from the current 5 labs to 34). This a key

strategic initiative for the Faculty as it underpins our objective to deliver an excellent student experience by empowering talented students with core techniques for problem solving in an environment that creates opportunity for innovation and leadership, so its success will be critical. As part of this transformation we have created a new MDLS cost centre, with resourcing for this coming from the departments i.e. a reallocation of resource based on asset holding/teaching hours.

Externally Funded Research

We continue to steadily grow our research with a particular focus on the Maori economy as well as the ongoing invigoration of the Newmarket campus. 2020 has seen the benefit of two Entrepreneurial Universities' grants.

Faculty of Engineering	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	80	80	77	77	+/- 80	+/- 80
Academic staff (FTE)						
Total academic	201	212	218	221	225	227
Staff in a significant academic role (SAR)	156	160	166	168	171	173
High quality researchers						
PBRF A	38	24	24	24	35	40
PBRF B	67	82	83	83	83	83
PBRF CNE	24	25	29	29	29	29
Māori (%)	1	2	3	≥ 3	≥ 4	≥ 5
Pacific (%)	1	0	0	≥ 2	≥ 2	≥ 2
Senior positions - women (%)	10	10	7	≥ 10	≥ 10	≥ 10
Professional staff (FTE)						
Total professional	173	193	185	188	191	193
FTE funded through teaching and research	156	163	147	149	152	153
Māori (%)	4	4	4	≥ 5	≥ 5	≥ 5
Pacific (%)	2	3	3	≥ 4	≥ 4	≥ 4
Senior positions – women (%)	42	46	57	≥ 57	≥ 60	≥ 60

Faculty of Engineering	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	88	92	87	≥ 90	≥ 90	≥ 90
All EFTS						
A focus on quality rather than growth: total (EFTS)	3,803	3,989	4,198	4,263	4,335	4,366
Domestic Undergraduate	2,149	2,253	2,370	2,377	2,395	2,394
Taught postgraduate	630	649	664	691	709	718
Research postgraduate	445	445	473	491	508	521
Total	3,224	3,347	3,506	3,558	3,612	3,633
Intl full fee Undergraduate	280	274	265	269	255	266
Taught postgraduate	280	350	407	414	448	447
Research postgraduate	17	16	19	20	20	20
Total	578	641	691	703	722	733
Māori % (as percentage of domestic)	5	4	4	5	6	6
Pacific % (as percentage of domestic)	5	5	5	5	5	6
New enrolments (EFTS)						
Total new	1,581	1,721	1,815	1,854	1,915	1,925
New domestic Undergraduate (1N)	647	662	693	693	699	696
Taught postgraduate	576	605	622	650	667	677
Research postgraduate	19	19	28	27	28	28
Total	1,241	1,287	1,343	1,370	1,394	1,401
New intl full fee Undergraduate (1N)	68	86	63	67	71	77
Taught postgraduate	258	332	390	398	431	429
Research postgraduate	14	16	19	19	19	19
Total	340	434	472	484	521	525
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	21	21	28	27	33	34
Doctoral – overseas (residency)	88	92	87	96	99	102
Total new doctoral	109	113	115	123	132	136

8.2

Faculty of Engineering	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	55	61	57	=> 58	=> 60	=> 60
Students expressing satisfaction with overall university experiences (%)	97	94	93	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	94	95	95	96	96	96
International	91	93	95	96	96	96
Māori domestic	88	89	87	88	89	90
Pacific domestic	84	85	85	87	87	87
1N Māori domestic	82	85	92	92	92	92
1N Pacific domestic	76	84	69	80	82	84
First-year retention (undergraduate)						
% new domestic students retained	94	95	95	95	96	96
% new international students retained	96	97	93	95	95	95
Value added to people's lives: outcomes						
Total qualifications awarded	1,157	1,310	1,074	1,100	1,150	1,200
Doctorates awarded	65	80	75	90	92	95
Qualifications awarded - taught masters	223	341	340	350	360	370
Qualifications awarded - research masters	49	51	50	50	50	50
Qualifications awarded to Māori	48	36	27	40	50	60
Qualifications awarded to Pasifika	31	39	23	30	45	60
Employment	-	97	97	+/-5 95	+/-5 95	+/-5 95

Faculty of Engineering	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	0.3	0.2	0.3	0.3	0.3	0.3
Doctoral EFTS per SAR FTE	2.7	2.6	2.7	2.7	2.8	2.8
Quality assured publications per SAR FTE	5.7	6.3	5.7	5.7	5.8	5.8
Weighted quality assured publications and creative works	889	1,005	950	975	1,000	1,000
Striving for a better world (sustainable institution)						
Global standing						
A high performing institution: QS World University ranking						
Chemical and Materials	101-150	101-150	101-150	101-150	51-100	51-100
Civil and Environmental	38	39	37=	≤ 35	≤ 30	≤ 30
Electrical and Computer	51-100	51-100	51-100	51-100	≤ 50	≤ 50
Mechanical	51-100	51-100	101-150	101-150	51-100	51-100
Financial (\$m)						
Total revenue (\$m)	114	129	141	149	151	153
International fee revenue (\$m)	19	22	25	26	28	29
Domestic fee revenue (\$m)	23	24	25	27	28	28
Total External Research Income (includes commercial contracts) (\$m)	14	24	30	32	32	30
Teaching & research contribution (\$m)	38	41	44	47	47	48

Faculty of Law

Achieving key objectives

Key objective 1:

Growth in student admissions into Part II of the LLB

Significant achievements and major challenges:

The Faculty of Law has successfully managed the first phase of the growth of its undergraduate programme through increases in admission to Part II of the LLB. Growth in undergraduate students admitted to Part II will continue until 2025 as follows: 380 – 410 in 2019; 410 – 440 in 2021; 440 – 470 in 2023; 470 – 500 in 2025. Quality in terms of student achievement and the staff-student ratio must now be maintained. Another major challenge is the fall in EFTS in Part I (specifically LAW 121G) of the LLB, which may impact the faculty's growth targets in coming years.

Strategic initiatives to improve/maintain performance and address challenges:

Schools outreach has been expanded through programmes such as the MALOSI Project (Movement for Action and Law to Overcome Social Injustice) which reaches out to Pacific students. Faculty's collaboration with Meredith Connell, AUT and the Hugo Trust on the Legal Profession Schools Programme aims to encourage interest in law studies for students from low decile schools. The faculty continues to support Te Rākau Ture (the Māori law students association) which involves community outreach to New Zealand schools. The faculty is restructuring the delivery of the LAW 121G Law and Society course to move away from overreliance on the large lecture and ensure there are more hands-on workshops with the lead teacher – Dr Anna Hood, who was awarded a University Early Career Teaching Excellence Award in 2019.

KPIs that measure the achievement of the objectives:

- Increased Part I intake and stable Part II intake.
- Successful delivery of restructured Law and Society course with corresponding pass rates and student satisfaction.
- Revision of Part II admission procedures.

Key objective 2:

Diversification of income

Significant achievements and major challenges:

The faculty has sought to lessen its reliance on the LLB, specifically through the increase in postgraduate taught students. The number of postgraduate taught students has increased by 15 EFTS. This is a significant achievement.

Strategic initiatives to improve/maintain performance and address challenges:

The faculty's Ten-Year Academic Plan (adopted June 2018) identifies a JD degree that may be attractive to international students who already have an undergraduate qualification, offering certainty of admission to the programme. Expertise from the University's marketing and international teams and senior academic staff from the Faculty will work on a scoping exercise on the JD, with a report prepared by April 2020.

The faculty supported a proposal by the International Director for an International Manager to be 50 per cent funded by the Law School.

KPIs that measure the achievement of the objectives:

- Report on the viability of the JD to be presented and discussed.

Key objective 3:

Strengthening our research agenda.

Significant achievements and major challenges:

The faculty was once again ranked the top New Zealand law school, and in the top 50 Law Schools globally in the QS World Academic Rankings. This reflects our research output and academic reputation.

The faculty improved its performance in the 2018 PBRF, with eleven A scores. As a percentage this equates to 23% of active research staff. The faculty figure for combined A & B PBRF scores is 76%. This demonstrates a significant increase from the 17% A and 72% combined A & B scores in the 2012 PBRF, and compares favourably against both national and University of Auckland average PBRF scores.

The faculty has also done well in securing research grants in a difficult funding landscape for law researchers. Faculty researchers currently have active funding of approximately \$3,360,000 from external funding agencies, and \$200,000 of internal funding through FRDF and DCF grants. A further \$565,000 of applications for major grants, and \$25,000 for FRDF, are currently in progress. During 2019 colleagues have been strongly encouraged to apply to the FRDF for funding for high quality research projects, and this has led to this fund being almost fully expended in 2019 (as against a 50% expenditure in 2018).

Publication of high quality research continues to be strong both in terms of books, and refereed journal articles.

Key challenges include securing a greater share of the University PBRF funding to reflect the increased internal demand and the high international ranking of the faculty. Increasing the public visibility and impact of our researchers, both domestically and internationally, is challenging.

Strategic initiatives to improve/maintain performance and address challenges:

The faculty will focus on continuing to transform B scores into A scores, and increase the levels within score bands, for the next PBRF round. Effort will also be directed at increasing the level of doctoral and postdoctoral research in the Faculty.

We will also work to ensure faculty members' publications feature and are accessible through the major research databases, and investigate ways of increasing the level of open access publishing, with the objective of increasing individual researcher's citation rates. This will reflect positively in international ranking systems for Law Schools, and in the next PBRF round.

KPI that measures the achievement of the objectives:

- Meet the 'target' of 3.5 publications per staff member per year.
- Achieve the level of over 50 per cent of staff registered with an ORCID number.
- Maintain our ranking in the QS World University Rankings for Law.

Operational risks

The Faculty's main operational risks during this period are:

- The country-wide decrease in school leavers entering university and potential impact on EFTS in Part I (specifically LAW 121G) of the LLB.
- Australian Law Schools actively recruiting for prospective students from within the New Zealand school leaver market.
- Staffing challenges across the LLB programme. It is important to strike a balance between delivery of the core LLB courses and elective offerings while enabling academic staff the flexibility to offer courses in their specialist areas and/or which are research-led.

Prioritisation of resources

The faculty remains committed to managing its resources and operating expenditure prudently and effectively. Faculty priorities around resource allocation will be discussed at the upcoming Faculty Retreat on 30 October 2019, by the Faculty's Executive, and at Departmental Meetings.

Faculty of Law	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	1,561	1,600	1,666
Teaching and research (\$000)			
TEC tuition subsidies	9,357	9,748	10,232
PBRF funding	1,422	1,422	1,427
Tuition fees - domestic	8,922	9,219	9,715
Tuition fees - international	1,674	2,001	2,197
Other revenue	117	125	257
Total revenue	21,492	22,515	23,828
Academic salaries	7,624	7,647	8,803
Professional salaries	1,894	1,934	1,842
Other people costs	1,546	1,291	1,283
Total people costs	11,064	10,872	11,928
Operating expenses	1,165	1,099	1,158
Depreciation and lease costs	126	127	138
Occupancy	1,656	1,565	1,752
Total expenditure	14,011	13,663	14,975
Contribution	7,481	8,852	8,853
Externally funded research (\$000)			
Revenue	584	481	463
Revenue - overhead recoveries	206	118	100
Overheads and reimbursements - UniServices	1	-	-
	791	599	563
People costs and operating expenses	658	577	539
Depreciation, lease costs and occupancy	-	-	-
Contribution	133	23	24

Faculty of Law	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	327	239	77
People costs	93	16	-
Other costs	234	224	77
Total expenditure	327	239	77
Contribution	(0)	(0)	-
All activities			
Total contribution	7,614	8,875	8,878
Teaching and research (\$ per EFTS)			
Total revenue	13,765	14,072	14,303
People costs	7,086	6,795	7,160
Operating expenses	746	687	695
Depreciation and lease costs	81	79	83
Occupancy	1,061	978	1,051
Contribution	4,791	5,533	5,314

Financial commentary

EFTS and Revenue

The Faculty's EFTS Budget for 2020 has increased from 2019 by 66 EFTS, from 1,600 to 1,666. The intake into Part II Law increased from 330 to 380 places from 2017, and then increased further to 410 places from 2019. The impact of these cohort increases has resulted in greater EFTS now expected at Levels 2, 3 and 4 for next year. The Faculty experienced solid growth in Postgraduate Taught numbers in 2019 across both domestic and international students), particularly in the LLM Programme, and further increases will flow into 2020.

Expenditure

The Faculty recruited four new permanent Academic FTE, including one Professor, two Senior Lecturers and one at Lecturer level, all of whom commenced in early 2019. The recruitment of a Chair in Health Law is currently in progress, with an expected commencement in 2020. Due to further EFTS increases anticipated in future years, the Faculty is

continuing to recruit for further academic staff positions, to ensure it remains appropriately resourced in order to fulfil its teaching programme. The Faculty also appointed a new Dean, Professor Pene Mathew, who commenced in March 2019 after the departure of Professor Andrew Stockley.

Externally Funded Research

In the area of Externally Funded Research, the Faculty has recently been successful in receiving a Marsden grant, which will commence in early 2020. There are also two Rutherford Fellowships in progress, both of which commenced in 2018. There have also been projects recently awarded from the recently established Borrin Foundation.

COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Faculty of Law	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	77	77	75	75	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	52	58	54	56	58	60
Staff in a significant academic role (SAR)	42	42	45	47	49	50
High quality researchers						
PBRF A	10	10	11	11	11	11
PBRF B	17	24	22	22	22	22
PBRF CNE	6	-	3	3	3	3
Māori (%)	10	13	13	≥ 13	≥ 13	≥ 13
Pacific (%)	4	4	2	≥ 4	≥ 5	≥ 6
Senior positions - women (%)	42	45	45	≥ 45	≥ 45	≥ 45
Professional staff (FTE)						
Total professional	29	29	28	29	30	31
FTE funded through teaching and research	29	28	28	29	30	31
Māori (%)	12	10	9	≥ 10	≥ 10	≥ 10
Pacific (%)	11	14	15	≥ 15	≥ 15	≥ 15
Senior positions – women (%)	95	95	93	≥ 95	≥ 95	≥ 95

Faculty of Law	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	63	68	64	66	68	68
All EFTS						
A focus on quality rather than growth: total (EFTS)	1,410	1,561	1,600	1,666	1,726	1,774
Domestic Undergraduate	1,233	1,370	1,400	1,461	1,508	1,545
Taught postgraduate	116	118	125	122	132	135
Research postgraduate	14	16	13	14	14	17
Total	1,363	1,503	1,537	1,596	1,653	1,696
Intl full fee Undergraduate	27	36	35	40	40	40
Taught postgraduate	19	21	28	30	33	38
Research postgraduate	1	1	-	-	-	-
Total	47	58	63	70	73	78
Māori % (as percentage of domestic)	10	11	10	11	12	12
Pacific % (as percentage of domestic)	11	12	13	12	12	12
New enrolments (EFTS)						
Total new	184	271	266	283	296	291
New domestic Undergraduate (1N)	59	134	115	130	130	130
Taught postgraduate	103	110	120	118	129	126
Research postgraduate	1	2	1	1	1	1
Total	163	246	237	250	260	258
New intl full fee Undergraduate (1N)	1	4	3	4	4	4
Taught postgraduate	19	20	27	29	33	30
Research postgraduate	1	1	-	-	-	-
Total	21	26	30	33	37	34
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	1	3	-	2	2	2
Doctoral – overseas (residency)	2	2	1	2	2	2
Total new doctoral	3	5	1	4	4	4

Faculty of Law	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	66	75	71	=> 70	=> 75	=> 75
Students expressing satisfaction with overall university experiences (%)	94	92	89	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	94	92	95	96	96	96
International	93	79	93	95	95	95
Māori domestic	90	92	92	93	94	94
Pacific domestic	83	80	83	86	88	88
1N Māori domestic	95	90	90	91	92	92
1N Pacific domestic	87	82	83	85	86	87
First-year retention (undergraduate)						
% new domestic students retained	85	88	89	90	90	91
% new international students retained	95	78	94	90	90	90
Value added to people's lives: outcomes						
Total qualifications awarded	425	361	341	350	375	400
Doctorates awarded	4	2	3	3	3	3
Qualifications awarded - taught masters	51	47	65	70	70	70
Qualifications awarded - research masters	4	5	8	10	10	10
Qualifications awarded to Māori	32	30	33	35	35	35
Qualifications awarded to Pasifika	30	37	29	30	35	40
Employment	-	99	99	+/-5 95	+/-5 95	+/-5 95

Faculty of Law	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	0.1	0.1	0.1	0.1	0.1	0.1
Doctoral EFTS per SAR FTE	0.3	0.3	0.2	0.2	0.2	0.2
Quality assured publications per SAR FTE	2.7	4.5	3.1	3.4	3.5	3.5
Weighted quality assured publications and creative works	115	180	140	150	155	160
Striving for a better world (sustainable institution)						
Global standing						
Law	36	29	44	≤ 40	≤ 40	≤ 35
Financial (\$m)						
Total revenue (\$m)	20	22	23	24	26	27
International fee revenue (\$m)	1	2	2	2	2	3
Domestic fee revenue (\$m)	8	9	9	10	10	11
Total External Research Income (includes commercial contracts) (\$m)	-	1	-	-	1	1
Teaching & research contribution (\$m)	7	7	9	9	10	10

Faculty of Medical and Health Sciences

Overview

It is both an exciting and challenging time for the Faculty of Medical and Health Sciences (FMHS). 2020 brings the majority of FMHS onto one campus, providing collaboration opportunities, strengthening of research culture and streamlining operations.

Achieving key objectives

Key objective 1:

Teaching and Learning

Significant achievements and major challenges:

1. Attracting and enrolling international students remains problematic.
2. 2019 saw highest intake of PhD candidates, (50% overseas).
3. Increase supervisory capacity and quality.
4. An inflexible undergraduate programme.
5. Optometry pop-up clinic successful.
6. Development of imaging programme.
7. Continuous improvement in established teaching practices.

Strategic initiatives to improve/maintain performance and address challenges:

1. A PGCert in Artificial Intelligence and international collaborations would likely attract international students.
2. Target high quality international students into the PGDipBioMedSci and Masters with programme specific masters scholarships, aiming to retain them for PhD.
3. An audit of all supervisory capacity. Facilitating doctoral workshops in Auckland and Waikato.
4. Explore conversion of 5-year BOptom programme to a 3-year bachelors and 2-year masters structure to increase
5. Operate a student-run assessment service for patients with low-vision at Papakura Marae. Increase externship sites; continue fundraising for a mobile Optometry clinic.

6. Address sector demand with PGDipHSc specialisation in Nuclear Medicine.
7. Complete embedded graduate profiles and progression statements.

KPI that measures the achievement of the objective:

1. Two Nursing PhD students enrolled from PUC in Chile by 2020. Delivery of DFAT-funded Acute Care postgraduate pathway for registered nurses in Tonga.
2. International students graduating with eligible GPAs for doctoral scholarships. 2/3 CSC students enrolled each year.
3. Meet individual school targets for increased supervision.
4. University, CUAP and OCANZ approvals for BOptom restructure. Positive graduate/student evaluations for new Pharmacy curriculum.
5. An increase in clinically qualified medical imaging staff capable of supervision.
6. Achieved in PGT programmes by end of 2020 and end of 2021 for all UG programmes.

Key objective 2:

Research

Significant achievements and major challenges:

1. Formation of Manaaki Mānawa Centre for Heart Research in 2019.
2. An academic health alliance established with Counties Manukau DHB.
3. Planned 2020 launch of an interdisciplinary faculty Cancer Research Centre.
4. Target international funding opportunities.
5. HRC research income dropped in 2019. Increase domestic grant applications.

Strategic initiatives to improve/maintain performance and address challenges:

1. Support CoRE bid for Manaaki Mānawa Centre for Heart Research.
2. Develop Research Services teams to provide increased levels of support.

3. Establish alliance with Waitemata DHB in the future.
4. Engage with Cancer Auckland and Northland to secure long-term funding, whilst integrating ACSRC into broader Cancer Research Centre.
5. Ensure Technical Services success.
6. Develop closer links with Uniservices and ensure communication of international opportunities.
7. Increased activity to place researchers in line with HRC opportunities and increase MBIE funding.

KPI that measures the achievement of the objective:

1. CoRE rebids are successful and a new CoRE granted for heart research.
2. Higher researcher satisfaction; increase in grants
3. Increase in doctoral supervision, research revenue and enhancement activities through health alliance engagement.
4. Increase in submissions to international funders.
5. HRC programme and MBIE grants increase.

Key objective 3:

Equity

Significant achievements and major challenges:

1. Considerable demand for new Tikanga/Te Reo course.
2. Improved completion rate for Pacific students but slower than for Māori and Pakeha.
3. Improve Māori and Pacific enrolments across undergraduate and PhD programmes.
4. Successful recruiting of Māori and Pacific staff.
5. TKHM have the challenge to move from assisting other's research to growing their own Māori Research Group.
6. Improve percentage of women at senior academic positions.

Strategic initiatives to improve/maintain performance and address challenges:

1. SOM to hold a workshop on Māori responsiveness in research.

2. Implement outcomes of Pacific Review, including appointing Associate Dean Pacific to lead development of a Pacific strategy.
3. Expand academic support and harness Ministry funds for Whakapiki Ake programme and Māori Achievement in Schools.
4. Targeted mentoring and philanthropic support for exceptional Māori or Pacific students.
5. Increase advertising for Māori research staff and intake of Māori and Pacific students.
6. Plan a research development programme for Tōmaiora.
7. Develop proposal for Return to Work Faculty Research Development Fund.

KPI that measures the achievement of the objective:

1. Use of Te Reo/Tikanga Māori in more faculty processes.
2. Improved completion rates for PI students.
3. Improved enrolments across undergraduate programmes with an increase in Māori and Pacific students passing.
4. Increase in Māori undertaking health PhDs.
5. At least one new Māori and Pacific permanent staff member in Medicine.
6. Faculty Research Committee approval for Return to Work fund.

Operational risks

Risks around staff are increasing:

- The move to B507 will affect staff ability to provide excellent and ongoing service.
- Increasing clinical loads for clinical academics is raising concerns around wellbeing, ability to move into leadership positions and loss of staff. The gap between DHB and University's pay rates is affecting recruitment and academic pursuit.
- Inability to find sufficient research-active staff to deliver UG medical imaging programme.
- Changes to FTE buy out allocation affects the teaching relief.

- Lack of resources to bridge SRF with partial salary support.

There is a backlog of replacement research equipment required by faculty. Finding a balance of investment in teaching and funding rounds either through replacement or purchase of new technology.

Accommodating increasing demands for placements for our clinical programmes and restrictions on clinical placements available within the DHBs.

A balance between encouraging research supervision and academic staff feeling pressured by audit.

Prioritisation of resources

Capex spends to increase research competitiveness while ensuring quality and safety.

Seek funding from the Strategic Research Infrastructure fund for the new cross-disciplinary research Centres with the potential to become COREs.

Provide fractional FTE to emerging researchers who gain competitive fellowships with partial salary support.



Faculty of Medical and Health Sciences	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	4,672	4,766	4,956
Teaching and research (\$000)			
TEC tuition subsidies	93,576	95,337	99,850
PBRF funding	25,943	25,795	26,278
Tuition fees - domestic	36,382	38,409	39,713
Tuition fees - international	10,041	11,474	13,584
Other revenue	13,133	12,516	10,847
Total revenue	179,075	183,530	190,272
Academic salaries	48,330	51,395	54,844
Professional salaries	16,521	14,723	14,314
Other people costs	19,204	19,443	18,760
Total people costs	84,056	85,561	87,918
Operating expenses	12,381	12,198	12,009
Depreciation and lease costs	4,963	5,025	6,776
Occupancy	10,050	10,730	12,779
Total expenditure	111,449	113,514	119,482
Contribution	67,626	70,016	70,790
Externally funded research (\$000)			
Revenue	69,653	74,202	71,557
Revenue - overhead recoveries	14,701	15,674	14,120
Overheads and reimbursements - UniServices	4,373	1,386	80
	88,727	91,263	85,757
People costs and operating expenses	73,954	80,805	75,070
Depreciation, lease costs and occupancy	10,254	11,727	13,129
Contribution	4,519	(1,270)	(2,441)

Faculty of Medical and Health Sciences	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	17,753	17,134	16,353
People costs	15,648	14,684	14,238
Other costs	2,908	2,817	1,725
Total Expenditure	18,556	17,502	15,963
Contribution	(803)	(368)	389
All activities			
Total contribution	71,341	68,379	68,738
Teaching and research (\$ per EFTS)			
Total revenue	38,330	38,516	38,396
People costs	17,992	17,956	17,741
Operating expenses	2,650	2,560	2,423
Depreciation and lease costs	1,062	1,054	1,367
Occupancy	2,151	2,252	2,579
Contribution	14,475	14,694	14,285

Financial commentary

EFTS and Revenue

The Faculty of Medical and Health Sciences continues to grow EFTS with the 2020 budget increasing by 4% over 2019 forecast. The growth in EFTS is across the board.

The 2020 budget sees the conclusion of any material growth in the MBChB programme. This an important programme for the Faculty of Medical and Health Sciences and the growth in this programme has dominated movements in domestic EFTS over the 2016 to 2019 period.

New initiatives and funding to increase enrolments in Nursing programmes and the new Medical Imaging programme have a positive impact on the 2020 budget. Joint and dual programmes along with short courses are underway in Pharmacy, Population Health and Nursing. The Faculty is also keen to offer micro-credentials, with an investigation underway.

Domestic tuition fees are projected to grow at 3.4% for 2020 and international tuition fees to grow at 18.4% as a result of the growth in EFTS.

Externally Funded Research

The Faculty is very dependent on New Zealand Government Public Good funders, receiving most of its funding from HRC and Marsden and to a lesser extent MBIE. These research pools are very competitive so it is difficult to predict who will be the recipient when these funds are awarded.

Successful funding rounds with the HRC occurred in 2018 and 2018 and the commencement of these new grants has led to a significant rise in research activity, easily surpassing the 2019 budget. The 2019 HRC funding round was less successful leading to more muted growth from 2020 onward.

Research infrastructure in FMHS is expensive and funding from teaching actives has helped to support that traditionally.

Research revenue for 2020 is expect to decrease fractionally from 2019 forecast in part due to the HRC awards but also due to the fall off in subcontracts associated with CoREs. The existing contracts for all CoRE conclude at the end of 2020.

Other Operating Activities

Other Operating Activities have operated at loss for the last few years mainly due to the operations of the Universities Clinics, however the 2020 Budget sees a small positive contribution.



COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Faculty of Medical and Health Sciences	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	80	80	77	77	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	562	601	611	636	644	649
Staff in a significant academic role (SAR)	437	467	486	505	511	516
High quality researchers						
PBRF A	76	64	75	75	75	75
PBRF B	164	168	175	175	175	175
PBRF CNE	82	46	91	91	91	91
Māori (%)	7	6	6	≥ 6	≥ 7	≥ 8
Pacific (%)	3	3	2	≥ 4	≥ 5	≥ 6
Senior positions - women (%)	36	36	36	≥ 37	≥ 40	≥ 40
Professional staff (FTE)						
Total professional	434	455	419	436	442	446
FTE funded through teaching and research	242	246	215	223	226	228
Māori (%)	7	7	7	≥ 7	≥ 8	≥ 8
Pacific (%)	5	6	6	≥ 6	≥ 7	≥ 7
Senior positions – women (%)	57	59	54	≥ 60	≥ 60	≥ 60

Faculty of Medical and Health Sciences	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	94	93	88	≥ 90	≥ 90	≥ 90
All EFTS						
A focus on quality rather than growth: total (EFTS)	4,667	4,672	4,766	4,956	5,020	5,063
Domestic Undergraduate	2,926	2,895	2,943	3,012	3,032	3,066
Taught postgraduate	923	906	907	973	989	979
Research postgraduate	388	385	412	421	429	433
Total	4,238	4,186	4,263	4,406	4,450	4,478
Intl full fee Undergraduate	160	176	183	202	221	234
Taught postgraduate	42	46	62	64	64	64
Research postgraduate	12	7	13	19	20	22
Total	214	228	258	285	306	320
Māori % (as percentage of domestic)	10	10	10	10	11	11
Pacific % (as percentage of domestic)	8	9	9	9	10	10
New enrolments (EFTS)						
Total new	1,333	1,329	1,367	1,443	1,463	1,453
New domestic Undergraduate (1N)	418	410	419	422	427	427
Taught postgraduate	746	757	765	844	860	849
Research postgraduate	85	90	88	92	94	95
Total	1,250	1,256	1,272	1,359	1,381	1,371
New intl full fee Undergraduate (1N)	33	26	32	32	32	32
Taught postgraduate	39	42	54	41	39	39
Research postgraduate	11	6	10	11	11	12
Total	83	73	96	84	82	82
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	55	70	49	62	76	78
Doctoral – overseas (residency)	19	21	27	24	24	25
Total new doctoral	74	91	76	86	100	103

Faculty of Medical and Health Sciences	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	63	66	70	=> 70	=> 75	=> 75
Students expressing satisfaction with overall university experiences (%)	97	96	92	=> 95	=> 95	=> 95
Pass rates (Course Completion Rates)						
Domestic	94	94	95	95	95	95
International	86	90	91	91	91	91
Māori domestic	92	92	94	95	95	95
Pacific domestic	83	89	89	92	92	92
1N Māori domestic	90	81	93	92	92	92
1N Pacific domestic	70	76	84	84	85	85
First-year retention (undergraduate)						
% new domestic students retained	83	83	81	83	84	85
% new international students retained	64	91	86	85	85	85
Value added to people's lives: outcomes						
Total qualifications awarded	2,139	2,329	2,354	2,375	2,400	2,425
Doctorates awarded	88	72	75	80	82	85
Qualifications awarded - taught masters	84	99	100	110	110	110
Qualifications awarded - research masters	124	205	150	160	165	170
Qualifications awarded to Māori	209	230	222	225	230	240
Qualifications awarded to Pasifika	161	195	214	225	230	235
Employment	-	96	96	+/-5 95	+/-5 95	+/-5 95

Faculty of Medical and Health Sciences	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	0.3	0.2	0.2	0.2	0.3	0.3
Doctoral EFTS per SAR FTE	0.6	0.6	0.6	0.6	0.6	0.6
Quality assured publications per SAR FTE	4.4	4.9	4.5	4.5	4.5	4.6
Weighted quality assured publications and creative works	1,936	2,249	2,200	2,250	2,300	2,350
Striving for a better world (sustainable institution)						
Global standing						
A high performing institution: QS World University ranking						
Medical Sciences	34	18	51-100	51-100	51-100	51-100
Nursing	50	41	36	≤ 35	≤ 35	≤ 30
Population Health	51-100	51-100	101-150	101-150	51-100	51-100
School of Medicine	51-100	51-100	101-150	101-150	51-100	51-100
Te Kupenga Hauora Māori	51-100	51-100	101-150	101-150	51-100	51-100
Optometry and Vision Science	51-100	51-100	101-150	101-150	51-100	51-100
Pharmacy	51-100	51-100	30	≤ 30	≤ 30	≤ 25
Financial (\$m)						
Total revenue (\$m)	251	271	276	278	281	286
International fee revenue (\$m)	9	10	11	14	15	16
Domestic fee revenue (\$m)	36	36	38	40	41	42
Total External Research Income (includes commercial contracts) (\$m)	47	63	74	72	70	72
Teaching & research contribution (\$m)	66	68	70	74	77	78

Faculty of Science

Overview

The Faculty of Science recently adopted the following value statements:

1. Valuing quality over quantity in our teaching, research, relationships, and cultures.
2. Respecting the principles of Te Tiriti ō Waitangi, and genuinely incorporating these in all that we do.
3. As a principle of Equity - supporting all students and staff to reach their potential, irrespective of background.
4. Ensuring an inclusive work and study environment that promotes wellbeing and celebrates diversity.
5. Ensuring our teaching programmes respond to international best practice and to the diverse and changing needs of our students.
6. Promoting thriving research communities, including those based on interdisciplinary collaboration.
7. Strengthening our engagement with, and our relevance to, our stakeholders and their communities.
8. Investing in sustainability in its broadest sense: ethical, emotional, environmental and financial.
9. Professionalism - encouraging core values of Integrity, Efficiency, Credibility, Compassion, Passion, Helpfulness

Achieving key objectives

Key objective 1:

Educational reform

In 2019 the first year of the revised BSc and new Bachelor of Advanced Science had the domestic EFTS rising by ~ 90 EFTS. In 2020-22 we will continue to focus on educational reform, specifically:

- Complete design of and implement capstone courses for each BSc major
- Review our Master's programmes
- Develop one or more online Masters programmes with Auckland Online

- Expand the number of advisory groups for our programmes to ensure stakeholder voices are heard in our curriculum and learning design
- Expand the range of BSc modules for broader educational and career outcomes

Key objective 2: Quality research

In 2019's PBRF results the faculty increased both the number (79→125) and percentage (20→30%) of A rated researchers over 2012 reflecting on the quality of our research capability. C(NE) rated researchers increased from 51→84 (13→19%) showing significant ECR capability development. After allowing for changes in CoRE accounting, EFR increased by ~ \$6.5M or 13% over 2018, showing the impact of the additional capability. In 2020-22 we will:

- Maximise advantage from CoRE
- Work with Uniservices and ARD to better access non-traditional funding
- Evolve our research themes
- Expand our Early Career Academic mentoring pilot to the full Faculty

Key objective 3: Inclusive & supportive environment for students

The faculty's aim is to grow and retain Māori and Pacific students, seek gender balance in areas that have not achieved that, and enhance student wellbeing. Māori retention is approaching the faculty average. Pasific enrolment has grown, but retention is problematic. A broad range of initiatives have been attempted, including pathway courses, tailored advice, and Tuākana variants. Our focus in 2019 was to develop separate Māori and Pacific strategies and introduce a new role of Assoc Dean Pasifika. With FMHS, we have run the Talatalanoa programme to share advice on embedding indigenous knowledge, values, and culture in teaching. We are developing a wellbeing programme for our postgrad students in response to a survey of student needs. In 2020-22 we will:

- Implement student-related parts of faculty Māori and Pacific strategies
- Embed outcomes of the Talatalanoa programme in our teaching

- Implement the Postgraduate student wellbeing programme

Key objective 4: Inclusive & supportive environment for staff

The staff survey showed staff to continue to be well engaged, but, mirroring the broader University, staff had lower confidence in the SLT decision making, and poor views of organisational efficiency, cooperation outside the school/dept and the pace of change. The faculty has been a leader in sustainability initiatives and in 2019, with Arts, introduced a sustainability module in the BSc and BA. In 2020-22 we will:

- Undertake initiatives motivated by feedback from the 2019 staff survey
- Implement results from faculty leadership development workshops
- With Property Services, plan mitigations for effects of the RWC construction
- Implement staff-related parts of our Faculty Māori and Pacific strategies
- Further embed the UN Sustainability Development Goals into our actions

Enhance gender diversity by increasing the hiring of women into lectureship positions by not less than 10% by 2022

Key objective 5: High-quality international student cohort

In 2019 the 1st cohort of 55 South West University Data Science students arrived. MoE approval was given for a larger joint college (AULIN) with Northeast Forestry University across several disciplines. Downstream, ~ 300 AULIN EFTS pa will come here. Additional traditional articulations were signed with BIT, Shanghai Ocean, and Beijing Sports University. Along with strong conventional recruitment we will exceed 2026 LTACP targets by 2021. Longer-term focus is market diversification. In 2020-22 we will:

- Provide an excellent experience for new international cohorts
- Design and implement the AULIN College arrangements
- Develop traditional articulation agreements in China for Departments/Schools not covered by other agreements

- Grow the Indian market with the aid of a new AD International (India)

Operational risks

- Space constraints
- Declining government funding
- Lack of improved process efficiencies that add to key staff workloads
- Increased international collaborations mean increased exposure to jurisdictional and global events

Prioritisation of resources

Faculty priorities have been derived top-down from the faculty's LTACP and Values statement and bottom-up from School and Department plans combined with Faculty Executive and Senior Management planning sessions. Our annual capital resource allocation is based on a rolling three-year plan permitting a longer-term view of capital expenditure and timing trade-offs to be made between schools/departments.

Faculty of Science	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	8,029	8,280	8,614
Teaching and research (\$000)			
TEC tuition subsidies	81,152	83,190	85,053
PBRF funding	22,721	22,721	23,182
Tuition fees - domestic	40,832	41,662	43,643
Tuition fees - international	38,581	46,496	54,845
Other revenue	3,044	2,903	1,940
Total revenue	186,330	196,972	208,663
Academic salaries	49,196	54,401	59,263
Professional salaries	14,545	13,644	13,486
Other people costs	6,783	6,595	6,279
Total people costs	70,524	74,640	79,028
Operating expenses	14,589	12,563	13,199
Depreciation and lease costs	6,149	5,962	6,116
Occupancy	22,536	29,226	33,855
Total expenditure	113,797	122,391	132,198
Contribution	72,533	74,581	76,465
Externally funded research (\$000)			
Revenue	58,422	71,896	69,836
Revenue - overhead recoveries	16,018	17,232	16,588
Overheads and reimbursements - UniServices	873	149	-
	75,313	89,277	86,424
People costs and operating expenses	60,158	76,380	74,229
Depreciation, lease costs and occupancy	598	395	477
Contribution	14,557	12,502	11,717
Other operating activities (\$000)			
Other operating revenue	8,875	11,462	10,786
People costs	3,612	4,539	3,972
Other costs	5,518	7,257	7,197
Total Expenditure	9,129	11,795	11,169
Contribution	(255)	(334)	(382)

Faculty of Science	2018 Actuals	2019 Forecast	2020 Budget
All activities			
Total contribution	86,835	86,749	87,800
Teaching and research (\$ per EFTS)			
Total revenue	23,207	23,788	24,224
People costs	8,784	9,014	9,174
Operating expenses	1,817	1,517	1,532
Depreciation and lease costs	766	720	710
Occupancy	2,807	3,530	3,930
Contribution	9,034	9,007	8,877

Financial commentary
EFTS and Revenue

The Faculty of Science continues to go from strength to strength with good growth in both EFTS and Externally Funded Research.

EFTS are projects to grow by 4% in 2020 of the back of strong growth in international numbers (13%). A number of articulation agreements have been signed, most notably Southwest University and Northeast Forestry University in China, which will maintain this growth projection over the following five years.

The first year of teaching the revised BSc and BAdvSci has led to growth in our Stage 1 domestics EFTS despite the declining school leaver numbers.

Focus in 2020 will continue on designing and implementing capstone courses for each major in order to continue with the success of the revamp. Student revenues are projected to grow at 6% for 2020 as a result of the international growth

With the EFTS growth, the Faculty faces a number of logistical challenges which include space constraints and recruitment of staff. Recruitment of staff can be a lengthy process, placing pressure on Schools and Departments in fulfilling teaching requirements and maintaining acceptable Student Staff Ratios as our EFTS continue to grow.

Expenditure

The Faculty also operates in a number of high cost areas and continuous pressure is placed on operating expenses and capital expenditure. Budget committee have increased the Faculty capex allocation for 2020 by \$1mil which will help alleviate some pressure.

T&R contribution is 39%, up from a 2019 budget of 36% and a forecast of 38%.

Externally Funded Research

Externally funded research continues to perform well with the Faculty having successful public good (MBIE and Marsden) rounds. Commercial research has also performed well highlighted by the \$6 million received from Gilead Science.

2020 shows a small decrease in EFR from 2019 forecast mainly due to changes in Core reporting and the centralisation of NESI.

Other Operating Activities

OOA consist primarily of our key equipment clusters which are being aligned with the University-level strategy around financial, management and governance structure for strategic equipment. These clusters continue to be financed from a user pays model and subsidies from T&R.

Of the other OOA's, the Institute for Innovation in Biotechnology faces the biggest financial challenge as property issues in the Thomas Building have restricted their ability to attract co-locators. This will continue until the Gateway building is completed.

Summary

Overall the Faculty with revenues approaching \$290 million and a contribution of \$93 million (32%), is in a very strong financial position and is well placed to meet its strategic goals.

COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Faculty of Science	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	77	77	76	76	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	515	529	540	562	573	586
Staff in a significant academic role (SAR)	394	401	421	438	447	457
High quality researchers						
PBRF A	96	70	125	125	125	125
PBRF B	147	183	164	164	164	164
PBRF CNE	65	56	84	84	84	84
Māori (%)	5	4	5	≥ 6	≥ 8	≥ 8
Pacific (%)	1	1	1	≥ 2	≥ 4	≥ 4
Senior positions - women (%)	26	28	29	≥ 30	≥ 30	≥ 30
Professional staff (FTE)						
Total professional	301	326	309	322	329	336
FTE funded through teaching and research	219	223	196	204	208	213
Māori (%)	4	4	4	≥ 5	≥ 5	≥ 6
Pacific (%)	4	4	4	≥ 5	≥ 5	≥ 6
Senior positions – women (%)	33	39	39	≥ 40	≥ 40	≥ 40

Faculty of Science	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All students						
School leavers commencing with a GPE ≥ 5	56	56	56	57	58	58
All EFTS						
A focus on quality rather than growth: total (EFTS)	7,765	8,029	8,280	8,614	8,793	8,994
Domestic Undergraduate	5,228	5,328	5,408	5,491	5,498	5,496
Taught postgraduate	549	526	501	529	582	603
Research postgraduate	794	831	838	858	880	902
Total	6,571	6,684	6,747	6,878	6,960	7,001
Intl full fee Undergraduate	923	1,038	1,233	1,371	1,487	1,623
Taught postgraduate	203	213	225	281	302	324
Research postgraduate	32	52	42	43	44	47
Total	1,158	1,303	1,500	1,694	1,833	1,993
Māori % (as percentage of domestic)	6	6	6	7	8	8
Pacific % (as percentage of domestic)	8	8	8	8	8	9
New enrolments (EFTS)						
Total new	2,737	2,909	2,993	3,124	3,206	3,280
New domestic Undergraduate (1N)	1,614	1,728	1,771	1,786	1,790	1,794
Taught postgraduate	487	468	452	477	513	522
Research postgraduate	141	153	153	156	160	163
Total	2,243	2,350	2,375	2,419	2,463	2,480
New intl full fee Undergraduate (1N)	281	315	376	417	446	479
Taught postgraduate	185	198	204	248	254	277
Research postgraduate	28	47	38	40	42	44
Total	494	560	618	705	743	800
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	88	88	93	95	115	119
Doctoral – overseas (residency)	99	106	91	97	100	103
Total new doctoral	187	194	184	192	216	222

Faculty of Science	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Learning and teaching quality						
Proportion of courses with an evaluation score of 80% or more	56	65	64	⇒ 65	⇒ 70	⇒ 70
Students expressing satisfaction with overall university experiences (%)	94	96	91	⇒ 95	⇒ 95	⇒ 95
Pass rates (Course Completion Rates)						
Domestic	83	82	81	87	87	87
International	87	85	84	86	87	88
Māori domestic	78	76	76	80	81	82
Pacific domestic	64	63	63	65	68	70
1N Māori domestic	73	70	76	78	79	80
1N Pacific domestic	59	60	57	60	62	64
First-year retention (undergraduate)						
% new domestic students retained	86	88	86	87	87	88
% new international students retained	92	96	93	95	95	95
Value added to people's lives: outcomes						
Total qualifications awarded	2,350	2,346	2,302	2,350	2,375	2,400
Doctorates awarded	144	117	140	145	150	155
Qualifications awarded - taught masters	50	135	120	130	140	145
Qualifications awarded - research masters	228	184	225	225	225	225
Qualifications awarded to Māori	114	118	116	125	150	150
Qualifications awarded to Pasifika	102	101	95	100	105	110
Employment	-	93	93	+/- 90	+/- 90	+/- 90

Faculty of Science	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	0.5	0.5	0.5	0.5	0.5	0.5
Doctoral EFTS per SAR FTE	1.6	1.7	1.6	1.6	1.6	1.6
Quality assured publications per SAR FTE	4.9	5.0	4.5	4.6	4.8	4.8
Weighted quality assured publications and creative works	1,936	1,983	1,900	2,000	2,150	2,200
Striving for a better world (sustainable institution)						
Global standing						
Computer Science	51-100	51-100	51-100	51-100	≤ 50	≤ 50
Biological Sciences	101-150	101-150	101-150	101-150	101-150	51-100
Psychology	33	36	50=	≤ 50	≤ 50	≤ 45
Chemical Sciences	101-150	101-150	151-200	151-200	151-200	101-150
Marine Science	101-150	51-100	51-100	51-100	51-100	≤ 50
Environment	34	29	28	≤ 25	≤ 25	≤ 25
Mathematics	51-100	45	51-100	51-100	51-100	≤ 50
Physics	101-150	101-150	151-200	151-200	151-200	101-150
Sport and Exercise Science	51-100	28	41	≤ 40	≤ 40	≤ 35
Statistics	49	43	51-100	51-100	≤ 50	≤ 50
A high performing institution: QS World University ranking						
Financial (\$m)						
Total revenue (\$m)	233	254	280	289	284	299
International fee revenue (\$m)	33	39	46	55	61	69
Domestic fee revenue (\$m)	39	41	42	44	45	46
Total External Research Income (includes commercial contracts) (\$m)	31	56	72	70	56	60
Teaching & research contribution (\$m)	66	73	75	81	86	92

Auckland Bioengineering Institute

Overview

The Auckland Bioengineering Institute (ABI) is a world leader in computational physiology and development of novel bio-instrumentation. It has experienced steady growth in external research funding and postgraduate students since its establishment, and major growth in research income during 2017-19. ABI hosts the Medical Technologies Centre of Research Excellence (MedTech CoRE) and is a founding partner of the Consortium for Medical Device Technologies (CMDT). Together with the MedTech CoRE and CMDT, it has been instrumental in coordinating a national approach to medical technology R&D and translation in NZ, linking university research with the medical technology industry and healthcare system.

In recent years, growth in public funding in NZ science has focused on business growth and, most recently, on personal well-being, including mental health - Government expects outcomes from investment in the forms of research impact, economic benefits, and development of research talent that can add skills to support innovation in the business sector. The ABI continues to demonstrate delivery of excellent science and skilled graduates that add economic and/or societal value.

National and international public good funding continues to provide the primary support for our basic science research with the potential to lead to translational projects for support by the MedTech CoRE, or to other non-CoRE outcomes. International (US) funding for our basic research increased considerably through 2017-18. The ABI continues to attract international students through reputation, and by building and fostering relationships with leading universities in targeted countries.

Achieving key objectives

Key objective 1:

World leading in computational physiology

The ABI is a world-class bioengineering research institute and, in particular, recognised as world-leading in the areas of computational physiology and instrumentation development for the experimental measurement and modelling of tissue and organ structure and function, and for medically implantable devices.

Significant achievements and major challenges:

Major achievements are:

- the development of biophysical organ models (heart, lungs, etc) that have set the standard worldwide for multiscale computational modelling;
- the development of modelling standards used for computational physiology (www.cellml.org);
- the development of novel instrumentation for understanding cardiac arrhythmias;
- new inductively powered implantable sensors;
- the award of major research grants from the National Institutes of Health (NIH) to develop the modelling frameworks for mapping autonomic neural system data - called SPARC.

Our researchers have received prestigious international awards and fellowships in recognition of these developments. Our major challenge is continued incorporation of relevant biophysical detail into this computational physiology framework making it relevant for understanding and treating a wide range of medical conditions.

Strategic initiatives to improve/maintain performance and address challenges:

One key initiative is the establishment of a new computational modelling journal called Physiome (journal.physiomeproject.org) that works with existing journals providing the means to publish citable papers on the curation, annotation and documentation of models. Another strategic initiative is looking at specific funding opportunities with Marsden, MBIE and HRC in New Zealand and with the US National Institutes of Health.

KPI that measures the achievement of the objective:

Award of research grants from national and international funding agencies; ABI publications in leading journals; participation by ABI staff on international professional science and engineering boards; recruitment of students to ABI's graduate programme; growth in submissions to the journal Physiome.

Key objective 2:

Highly trained bioengineering graduate students

Our highly interdisciplinary and collegial environment attracts top graduate students from all over the world to develop skills and experience and become valuable employees in NZ's medtech and other related industries, hence contributing to NZ's high-tech economy and to global healthcare.

Significant achievements and major challenges:

Successful development of a doctoral training programme; Creation of internships with medtech companies. Scholarship funding for international graduate students remains a challenge.

Strategic initiatives to improve/maintain performance and address challenges:

A new doctoral exchange programme with a university in Freiburg, Germany; a new graduate student recruitment drive in South America; continued efforts to raise philanthropic funding.

KPI that measures the achievement of the objective:

Increasing number of early career researchers attracting students and/or named as co-supervisors. Increasing numbers in terms of geographic diversity and female students as well as improved employment outcomes.

Key objective 3:

Contributing to the health, economic and social wellbeing of New Zealanders by establishing a New Zealand medtech industry

The ABI will continue its national leadership role in the NZ medtech sector via CMDT and as host of the MedTech CoRE, facilitating increased engagement between academia, clinicians, the medtech industry and government.

Significant achievements and major challenges:

ABI provides an established innovation environment, fostering opportunities for translation of basic research to clinical and commercial outcomes. UniServices help provide new opportunities, including access to early stage investment and the use of the Return on Science panel to direct and support new commercial concepts. Several spinouts provide employment for our graduates.

Strategic initiatives to improve/maintain performance and address challenges:

ABI Cloud Nine - ABI has successfully supported spinouts from its research group (eg. Soul Machines, IMeasureU, Stretch Sense and Formus Labs), helping fledgling companies gain traction in a nurturing environment. 'Cloud Nine' is a space to house and help its next wave of start-ups through their most vulnerable stage. This initiative benefits ABI through continued collaboration in research with these start-ups, internships and future employment opportunities.

Operational risks

Moving to a fit-for-purpose building has been delayed and remains a risk. ABI occupies seven levels of 70 Symonds Street; however, accommodating core activities in an office building is challenging due to the need for ongoing and costly refitting of office space into workshop or laboratories.

Increasing numbers of staff and students associated with new grants and positions places significant pressures on space and operational support.

Cloud Nine is underway from October 2019 on level 9 and currently supports 11 companies.

ABI supports the MedTech CoRE in the rebid process for a further eight years of funding. The rebid outcome will have an impact on ABI's future research operations.

Auckland Bioengineering Institute	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	97	100	108
Teaching and research (\$000)			
TEC tuition subsidies	1,281	1,467	1,689
PBRF funding	1,704	1,956	2,259
Tuition fees - domestic	529	594	668
Tuition fees - international	217	108	115
Other revenue	88	122	95
Total revenue	3,818	4,246	4,827
Academic salaries	-	-	-
Professional salaries	-	-	-
Other people costs	52	90	78
Total people costs	52	90	78
Operating expenses	485	726	718
Depreciation and lease costs	0	0	-
Occupancy	-	-	-
Total expenditure	536	816	796
Contribution	3,282	3,430	4,031
Externally funded research (\$000)			
Revenue	19,042	27,223	27,895
Revenue - overhead recoveries	4,219	4,502	4,806
Overheads and reimbursements - UniServices	125	4	222
Total revenue	23,386	31,730	32,923
People costs and operating expenses	22,863	31,564	33,011
Depreciation, lease costs and occupancy	1,616	2,010	1,979
Contribution	(1,093)	(1,844)	(2,067)
All activities			
Total contribution	2,189	1,587	1,964

Financial commentary

EFTS and Revenue

We expect to exceed our 2019 EFTS target of 96 EFTS by 5% and forecast (October) 100.8 EFTS (13.5 MEs, including 3.1 international; 78 PhDs; 9.3 out-of-time). We have ambitious recruitment plans to grow our EFTS in 2020 and beyond, with the growth focused on international students (~60% international EFTS in 2019). Because of our dependence on international students whose timing for granting of visa often does not coincide with the initiation of grants, we are still operating a 'student pipeline' where we assess and confirm places for able students who are then matched to specific projects within the first six months of enrolment. This initiative is so far proving successful, and is helping to avoid lags between grant initiation and student appointment. One risk is that students are enrolled on a generic 'MedTech' project that is later changed to a specific project. Another risk for the continuation of this pipeline is the outcome of the MedTech CoRE rebid.

Externally Funded Research

Our research revenue continues to grow (by 43%) in 2019 (and remains steady in 2020 and 2021) across a wide range of grant awards: one MBIE, four HRCs, three Marsdens (one Fast Start and two Standards), one Rutherford, one James Cook, four Philanthropies, and five NIH's being renewed for another year) with a total award of circa \$9.8M over the next 5 years (2020 - 2024). Commercial revenue accounts for \$1.17m in 2019, but will be reduced to \$964k in 2020 when some of the Inflights expire.

We are faced with challenges that ABI researchers need increased support for earlier engagement in the development of a Vision Mātauranga strategy across all MBIE proposals. The MedTech CoRE funding ends December 2020, and a rebid proposal (2021-2028) will be submitted in late November 2019. There are still risks in securing longer-term fully costed public good research funding (e.g., HRC and MBIE) but strategies are in place to improve our ability to attract funding from those areas.

Our research growth has led to the increased operating costs since 2018 which will remain high in the next few years. People costs and operating expenses (increased by 38% in 2019) will increase by 5% whereas depreciation and occupancy by 12% in 2020. We have appointed the fifth RPC and the second RPM this year which makes the FIRST team a full team, and a Technical Services Manager as part of the Technical Services Review.

A plan is underway for a possible permanent second Research Operations Administrator and redefining our postgraduate/student services administration role. All of these roles are now funded centrally which results in a reduction in our UICC contribution. We have also been allocated three additional research support FTEs due to our increased research income for 2020-2022.

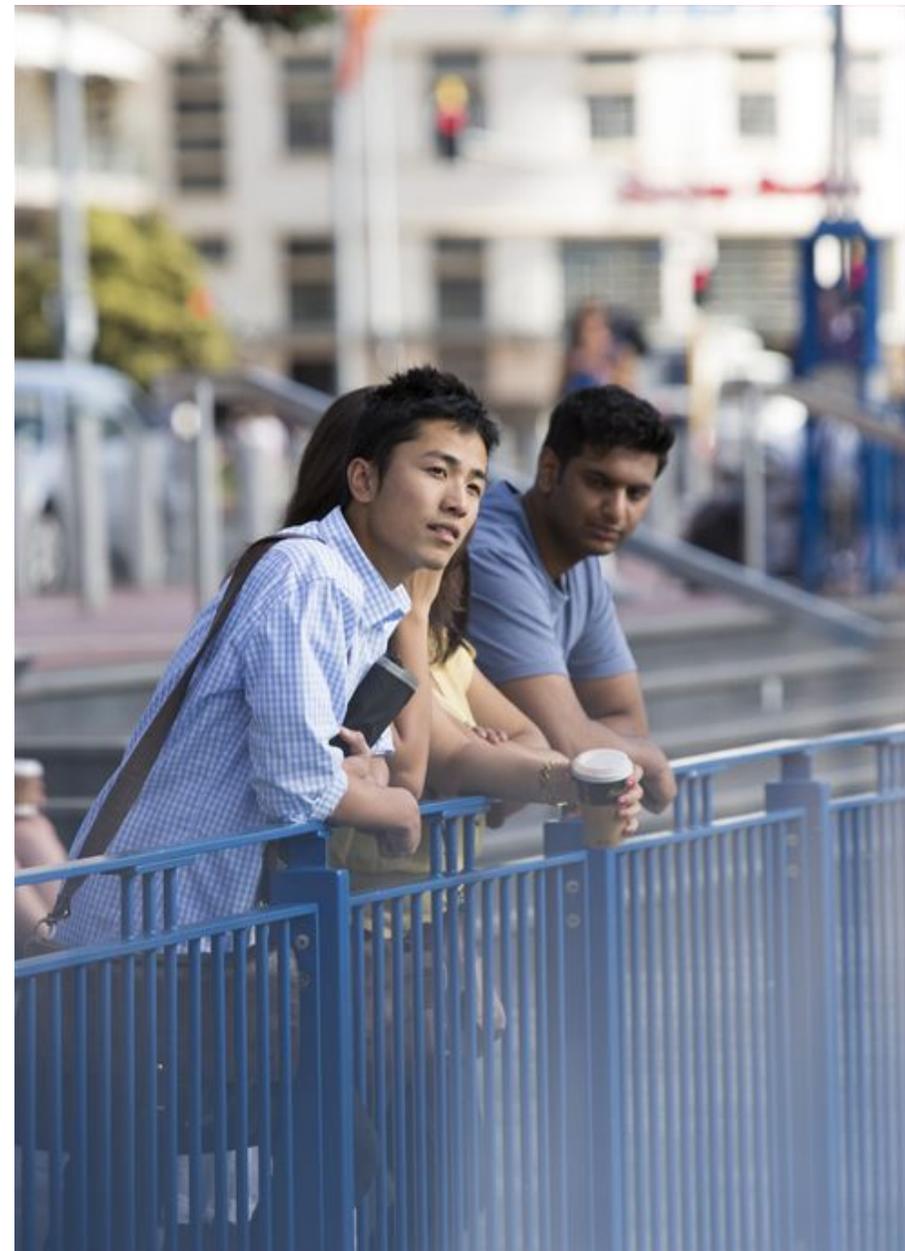
Higher depreciation is for the purchase of a new Wire EDM @ \$350k required for our Workshop, and higher occupancy is due to the takeover of the 9th floor of 70 Symonds Street to accommodate growth associated with new grants and graduate students.

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Auckland Bioengineering Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	-	-	79	79	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	44	52	54	58	66	74
Staff in a significant academic role (SAR)	41	50	52	56	63	71
High quality researchers						
PBRF A	7	7	11	11	11	11
PBRF B	19	19	23	23	23	23
PBRF CNE	10	9	14	14	14	14
Māori (%)	2	1	1	≥ 2	≥ 2	≥ 2
Pacific (%)	-	-	-	≥ 1	≥ 1	≥ 1
Senior positions - women (%)	11	8	8	≥ 10	≥ 10	≥ 10
Professional staff (FTE)						
Total professional	38	52	72	72	73	74
FTE funded through teaching and research	-	-	-	-	-	-
Māori (%)	1	-	-	≥ 1	≥ 1	≥ 1
Pacific (%)	5	2	3	≥ 3	≥ 3	≥ 3
Senior positions – women (%)	72	50	50	≥ 50	≥ 50	≥ 50

Auckland Bioengineering Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All EFTS						
A focus on quality rather than growth: total (EFTS)	79	97	100	108	122	137
Domestic						
Undergraduate	-	-	-	-	-	-
Taught postgraduate	1	-	-	-	-	-
Research postgraduate	75	90	97	104	118	134
Total	76	90	97	104	118	134
Intl full fee						
Undergraduate	-	-	-	-	-	-
Taught postgraduate	-	-	-	-	-	-
Research postgraduate	4	7	3	3	3	3
Total	4	7	3	3	3	3
Māori % (as percentage of domestic)	2	1	-	1	1	1
Pacific % (as percentage of domestic)	-	-	-	1	1	1
New enrolments (EFTS)						
Total new	9	13	11	8	8	11
New domestic						
Undergraduate (1N)	-	-	-	-	-	-
Taught postgraduate	-	-	-	-	-	-
Research postgraduate	5	7	8	5	5	8
Total	5	7	8	5	5	8
New intl full fee						
Undergraduate (1N)	-	-	-	-	-	-
Taught postgraduate	-	-	-	-	-	-
Research postgraduate	4	7	3	3	3	3
Total	4	7	3	3	3	3
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	7	10	8	7	9	9
Doctoral – overseas (residency)	10	22	20	16	16	16
Total new doctoral	17	32	28	23	25	25

Auckland Bioengineering Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (learning and teaching)						
Value added to people's lives: outcomes						
Total qualifications awarded	20	13	17	20	20	20
Doctorates awarded	20	13	19	22	25	27
Qualifications awarded - taught masters	-	-	-	-	-	-
Qualifications awarded - research masters	-	-	-	-	-	-
Qualifications awarded to Māori	-	1	-	-	-	-
Qualifications awarded to Pasifika	1	-	-	-	-	-
Employment	-	-	-	-	-	-
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per significant academic role FTE	0.2	0.3	0.3	0.1	0.1	0.2
Doctoral EFTS per significant academic role FTE	1.7	1.7	1.7	1.8	1.8	1.8
Quality assured publications per significant academic role FTE	3.4	3.4	5.8	5.7	5.7	5.7
Weighted quality assured publications and creative works	140	167	300	300	325	350
Striving for a better world (sustainable institution)						
Financial (\$m)						
Total revenue (\$m)	16	23	31	33	25	19
International fee revenue (\$m)	-	-	-	-	-	-
Domestic fee revenue (\$m)	-	1	1	1	1	1
Total External Research Income (includes commercial contracts) (\$m)	7	18	27	28	19	13
Teaching & research contribution (\$m)	3	3	3	4	5	6



Liggins Institute

Overview

The Institute has had significant post-graduate student success over the past year reflecting the very high quality of our students. Substantial philanthropic support will enable us to recruit new staff and students over the next three years. The University's approach to professional research staff has enabled us to put in place an excellent team of permanent professional staff supporting our research and students.

Achieving key objectives

Key objective 1:

Grow postgraduate student cohort and enhance student experience

Significant achievements and major challenges:

Our aim of growing philanthropic support of students through scholarships and funding of research clusters has had some success. Philanthropy funds a research cluster in pregnancy-related research; eight PhD stipends in a research cluster around childhood follow-up, and one PhD stipend supporting research into cerebral palsy. In addition, we have 6 named post-graduate scholarships funded through philanthropy.

Our students continue to perform extremely well: Vice Chancellor's best thesis award for 2018; top prize in the HealthX student research competition; sole trainee award for a large international meeting; U21 student award in Glasgow; three theses in 2019 recommended for the Dean's list to date.

Recent changes in academic staff have slowed growth of our postgraduate student cohort; we anticipate that recruitment of new staff will support ongoing growth.

We have initiated a clinical internship programme, also funded by philanthropy, aimed at providing clinical undergraduate students interested in research with experience that will qualify them for enrolment in a PhD in the future: the first interns have just been recruited.

Strategic initiatives to improve/maintain performance and address challenges:

- Develop and grow internship programme
- Commitment to a minimum of two Masters projects for students in the dietetic programme per annum

- Build on success of the postgraduate training programme
- Continue to seek philanthropic support for students
- Recruit academic staff

KPI that measures the achievement of the objective:

- PG EFTs 70 in 2020 and 72 in 2021
- Philanthropic support for students
- EFTS:SAR 2.4 by 2021
- Ongoing excellence in student achievement (awards, prizes)

Key objective 2:

Continue growth and development of clinical research infrastructure

Significant achievements and major challenges:

We have established a clinical data unit (CDU), a OneTeam approach to childhood follow-up and clinical research unit (CRU) on site, each supported by a core of permanent professional staff with significant expertise. The next challenge is to integrate these into a cohesive unified infrastructure with appropriate oversight and professional staff support which is essential to support further growth; we have a seconded role scoping this next step expected to report by the end of the year. The CDU supports 26 clinical projects, 11 outside the Liggins Institute, with a randomisation service, database and data entry support and statistical expertise. The Follow-Up team will see >5,000 children over the next three years, all around New Zealand. The CRU continues to provide bespoke facilities and services for wide range of clinical research studies, including commercially-funded research.

Strategic initiatives to improve/maintain performance and address challenges:

- Conclude current scoping project and form action plan based upon outcome leading to unified clinical research infrastructure
- Continue to contribute to University-wide initiatives around clinical research
- Continue with the successful facilitated trials development workshops at least once per annum
- Continue development of the open-access Central Research Hub, promoting visibility and use beyond the Institute

KPI that measures the achievement of the objective:

- Number of clinical research projects supported by central infrastructure
- Proportion of Liggins clinical research (\$ and participants) supported by central infrastructure
- At least one trials development workshop per annum
- Number of clinical research projects with PI outside Liggins utilising central infrastructure
- Number of participants assessed by the OneTeam approach

Key objective 3:

Refresh Institute research strategy

Significant achievements and major challenges:

We continue to have success with external research grants, including NIH, HRC and the Michael J Fox Foundation. However, our success with domestic funding streams has probably reached, or is close to, saturation, meaning we increasingly need to focus on international opportunity. Our academics have a global network of collaborators but we do not yet have a coherent, forward-looking strategy towards growing international revenue, leaving this largely to individual academics / groups. The challenge is not only to develop this strategy but to facilitate the commitment required to take a medium-term view towards growth in international research revenue with the activity that will require.

Strategic initiatives to improve/maintain performance and address challenges:

- Identify 5-year plans of all academics with respect to research goals / plans and review potential funding sources
 - Research Programme Manager seconded to UniServices for the rest of 2019 to work on this in partnership with UniServices
- Identify key international collaborations, existing or potential, that could lead to research funding opportunity and develop strategy to foster exchange visits targeting appropriate visitor funding opportunities
- Build upon developing relationship with Penn State University
- Identify aligned institutes, particularly in Australia, and explore potential for agreements

that may open opportunities for funding from Australian sources (NHMRC, MRFF)

- Liggins Institute ERR strategy

KPI that measures the achievement of the objective:

- International ERR (\$)
- Number of international exchange visits (outbound and inbound)
- Growth in proportion of publications with international co-author
- ERR strategy in place

Operational risks

- Inability to recruit excellent researchers impacting both on research output/revenue and PG student numbers
- We are dependent largely upon ERR; as research funding becomes increasingly competitive the risk of a year in which we do not have expected success increases
- Sustainability of the large animal long-term research laboratory

Prioritisation of resources

Priority lies with supporting initiatives to grow our student cohort and our research success; currently, there is substantial growth in clinical research and appropriate infrastructure is required to support this. Growth in our philanthropic income, an important revenue stream, is very pleasing and we will continue to prioritise this which includes investing in our community outreach and engagement both through public events and use of media, both social and traditional.

Liggins Institute	2018 Actuals	2019 Forecast	2020 Budget
Total EFTS	50	62	67
Teaching and research (\$000)			
TEC tuition subsidies	940	1,023	1,034
PBRF funding	1,431	1,575	1,624
Tuition fees - domestic	309	381	412
Tuition fees - international	1	46	58
Other revenue	1	(1)	-
Total revenue	2,682	3,024	3,128
Academic salaries	276	223	231
Professional salaries	3	-	-
Other people costs	21	21	18
Total people costs	301	244	249
Operating expenses	248	449	422
Depreciation and lease costs	-	-	-
Occupancy	-	-	-
Total expenditure	550	693	671
Contribution	2,132	2,330	2,458
Externally funded research (\$000)			
Revenue	24,107	24,674	27,286
Revenue - overhead recoveries	3,066	2,950	3,134
Overheads and reimbursements - UniServices	584	263	314
	27,758	27,887	30,734
People costs and operating expenses	26,756	27,236	30,210
Depreciation, lease costs and occupancy	1,608	1,639	1,687
Contribution	(607)	(988)	(1,163)

Liggins Institute	2018 Actuals	2019 Forecast	2020 Budget
Other operating activities (\$000)			
Other operating revenue	1,014	927	965
People costs	969	865	871
Other costs	23	90	26
Total Expenditure	992	955	897
Contribution	22	(28)	68
All activities			
Total contribution	1,548	1,314	1,362

Financial commentary

EFTS and Revenue

Liggins T&R revenue is postgraduate based and in line with the Liggins key objective to grow postgraduate student cohort and enhance student experience ; the target for 2020 is 67 EFTS. Teaching revenue comprises 9% of total revenue for 2020 and, whilst this is relatively small compared with EFR of 88.2%, it supports research growth and provides some income stability in the competitive EFR environment.

One of the measures implemented to increase student numbers is that academic staff are actively encouraged to take on additional students with their contribution to EFTS being recognised in a transparent manner through increased salary support (0.05 FTE per 1.00 EFT supervision). Liggins also provides scholarship support to PhD students while they seek scholarships elsewhere or to help them towards thesis submission when other funding has finished.

Externally Funded Research

EFR remains the primary revenue stream for the Liggins Institute in 2020, with 88.2% of total revenue. This covers open grants awarded to Liggins staff, plus anticipated new grants, including the revenue and expenditure for the two NSCs hosted at Liggins – High Value Nutrition and A Better Start. Both revenue and overheads are predicted to increase in 2020.

During 2018, the majority of commercial and government subcontract projects previously managed through UniServices were transferred to the UOA with only certain international Clinical Trials continuing to be managed by UniServices. This is the reason UniServices overheads and reimbursements

decreased in 2019; they are predicted to increase slightly in 2020.

Overall, increased EFR revenue for 2020 is offset by increased costs. People costs and operating expenses include both the direct costs of research, plus indirect costs which are essential to carrying out the research.

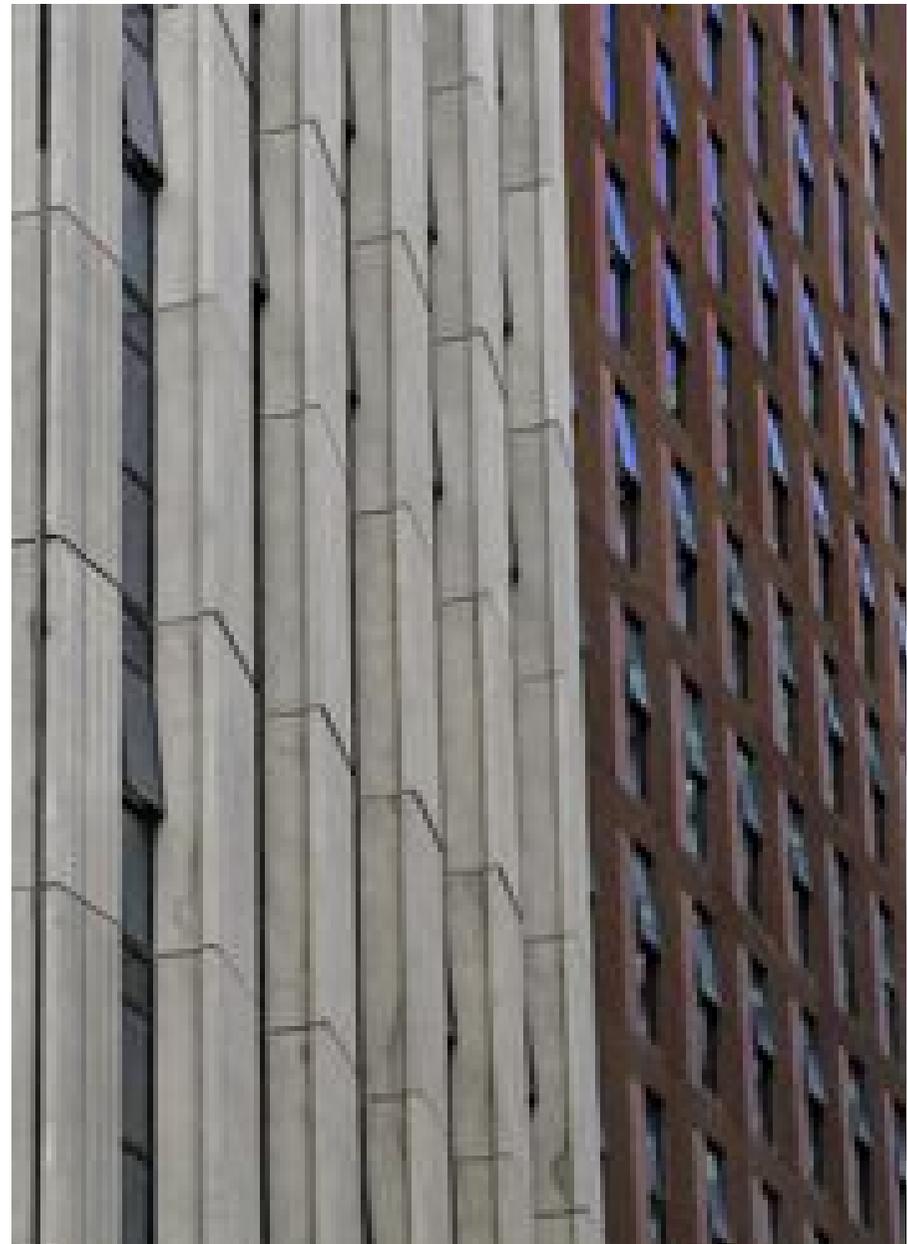
Other Operating Activities

This relates to staff on clinical service contracted to DHBs and comprises 2.8% of Liggins total revenue for 2020.

Liggins Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (staff)						
All staff						
Staff Survey engagement score	-	-	79	79	+/-5 80	+/-5 80
Academic staff (FTE)						
Total academic	26	30	30	32	34	36
Staff in a significant academic role (SAR)	25	27	28	30	31	34
High quality researchers						
PBRF A	8	6	9	9	9	9
PBRF B	10	11	15	15	15	15
PBRF CNE	5	2	3	3	3	3
Māori (%)	-	-	-	≥ 2	≥ 2	≥ 2
Pacific (%)	-	-	-	≥ 1	≥ 1	≥ 1
Senior positions - women (%)	25	31	34	≥ 35	≥ 35	≥ 35
Professional staff (FTE)						
Total professional	40	48	48	51	54	58
FTE funded through teaching and research	-	-	-	-	-	-
Māori (%)	8	9	11	≥ 10	≥ 10	≥ 10
Pacific (%)	1	1	1	≥ 1	≥ 1	≥ 1
Senior positions - women (%)	100	100	70	≥ 75	≥ 75	≥ 75

Liggins Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Clever people (students)						
All EFTS						
A focus on quality rather than growth: total (EFTS)	48	50	62	67	70	75
Domestic						
Undergraduate	1	-	2	1	1	1
Taught postgraduate	1	2	2	-	-	-
Research postgraduate	46	47	57	64	68	73
Total	48	50	61	65	69	74
Intl full fee						
Undergraduate	-	-	-	-	-	-
Taught postgraduate	-	-	-	-	-	-
Research postgraduate	-	-	1	2	2	2
Total	-	-	1	2	2	2
Māori % (as percentage of domestic)	2	2	4	2	2	2
Pacific % (as percentage of domestic)	8	2	5	2	2	2
New enrolments (EFTS)						
Total new	7	3	5	3	3	4
New domestic						
Undergraduate (1N)	-	-	-	-	-	-
Taught postgraduate	1	2	2	-	-	-
Research postgraduate	7	1	2	2	1	2
Total	7	3	3	2	1	2
New intl full fee						
Undergraduate (1N)	-	-	-	-	-	-
Taught postgraduate	-	-	-	-	-	-
Research postgraduate	-	-	1	2	2	2
Total	-	-	1	2	2	2
Doctoral new enrolments (headcount)						
Doctoral – local (residency)	6	4	5	5	6	6
Doctoral – overseas (residency)	14	5	5	8	9	9
Total new doctoral	20	9	10	13	15	15

Liggins Institute	2017 Actual	2018 Actual	2019 Forecast	2020 Target	2021 Projection	2022 Projection
Striving for a better world (research)						
Contribution to knowledge and enhanced innovation						
Research postgraduate EFTS per SAR FTE	0.3	0.1	0.1	0.1	0.1	0.1
Doctoral EFTS per SAR FTE	1.5	1.7	2.0	2.2	2.3	2.3
Quality assured publications per SAR FTE	9.9	8.5	9.4	9.4	9.4	9.4
Weighted quality assured publications and creative works	245	232	260	265	275	275
Striving for a better world (sustainable institution)						
Global Standing						
Liggins	51-100	51-100	101-150	101-150	51-100	51-100
Striving for a better world (sustainable institution)						
Financial (\$m)						
Total revenue (\$m)	26	28	29	32	33	35
International fee revenue (\$m)	-	-	-	-	-	-
Domestic fee revenue (\$m)	-	-	-	-	-	-
Total External Research Income (includes commercial contracts) (\$m)	15	21	25	27	28	30
Teaching & research contribution (\$m)	2	2	2	2	3	3



Auckland UniServices Ltd

UniServices Overview

UniServices provides the business development and contract execution functions for the external research portfolio of the University of Auckland. Working with University researchers as our internal customers, and with public-sector funders and private-sector purchasers of research as our external customers, UniServices seeks to grow the overall research portfolio of the University. Following the changes made in 2018 and 2019 across the research support endeavours of the University, 2020 will be the first full year of a system-wide focus on growth of the total research portfolio, system-wide innovation in researcher support and segmentation. The commercialisation and deployment of University IP will also expand in 2020, after the successful growth of both our Pre-seed Accelerator Funds and the Return on Science contract in 2019. By 2021 we would expect to have the research support system functioning well, with good traction in contestable funding in New Zealand and internationally. Any increases in research spending by businesses in New Zealand, on the back of the R&D tax credit introduced by the New Zealand government in 2019, should be clearly evident by 2020 and we would expect to attract a significant share of that new spending by 2021. By 2022 we should see the successful exits of several of the companies that UniServices has formed since the inception of the University of Auckland Inventors Fund in 2016, and we expect to further expand the size and scope of the fund.

Achieving key objectives

Key objective 1:

Raise the level of support and engagement that UniServices has with researchers and their teams

Significant achievements and major challenges:

In 2019 UniServices offered workshops on iwi engagement, grant-writing and editorial support and implementation/impact planning. We plan to continue to expand these offerings in 2020, to help

attract new and emerging researchers to the funding environment and raise the funding competitiveness of established researchers.

Strategic initiatives to improve/maintain performance and address challenges:

Planned activities include linking the dynamic funding calendar created in 2019 to the workshops.

Key objective 2:

Grow the pipeline and the value of intellectual property commercialisation

Significant achievements and major challenges:

The University of Auckland Inventors Fund led to a higher rate of production of new spin-out companies and new licensing deals. We are now averaging 10 new companies per year.

Strategic initiatives to improve/maintain performance and address challenges:

The companies that were supported in the early days of the Inventors Fund should begin to generate returns, allowing more ideas to be supported and developed and also allowing UniServices to follow selected investments.

Key objective 3:

Grow the profitability of UniServices business units

Significant achievements and major challenges:

UniServices established and managed a wide variety of business units for the purpose of providing services or supporting technology transfer to the private and public sectors. These businesses will now focus on generating profits for the University, and the portfolio of business units in UniServices will need to adapt to meet that profit expectation.

Strategic initiatives to improve/maintain performance and address challenges:

UniServices plans to continue to make improvements in the portfolio during 2020 and to begin to target new, green-field opportunities to expand the business unit portfolio.

Auckland UniServices Ltd \$'000	2018 Actual	2019 Forecast	2020 Budget
Revenue	88,284	73,059	73,893
People costs	49,495	48,900	48,588
Operating expenses	34,616	21,660	20,047
Depreciation, lease costs and occupancy	4,191	2,933	3,113
Total Expenditure	88,302	73,493	71,748
Net Cost	(18)	(434)	2,145

Key objective 4:

Grow international research and services

Significant achievements and major challenges:

In 2017 UniServices established the University of Auckland Innovation Institute China in Hangzhou and ongoing partnering effort has been devoted to growing the number of research projects.

Increased focus on business development with international research funders and clients has already led to new contracts with US funders and we expect that deal flow to grow.

Strategic initiatives to improve/maintain performance and address challenges:

In 2020 UniServices aims to attract the first start-up companies to the Institute, to help raise the opportunities for new interactions to arise through co-location in China. UniServices will also continue the very successful series of research and commercialisation partnering conferences that were established in China.

Key objective 5:

Provide a supportive environment for all staff

Significant achievements and major challenges:

Increasingly our staff are seeking the company's support for the development of new programmes, such as a proposal to engage with the University's efforts in support of the UN Sustainable Development goals.

Strategic initiatives to improve/maintain performance and address challenges:

In 2020 UniServices aims to collaborate with our staff and the wider University on the nature of the social license and public face of research, innovation and commercialisation, in the broader context of the grand challenges for us as New Zealanders.

Operational risks

Delivering the University's ambitious targets for growth continues to depend on the willing participation of researchers, who have other significant demands on their time and attention, and on the collective capacity of all of the various parts of the research support system. Both the company and the University are seeking to provide a good level of service to all researchers who wish to participate, while also seeking to identify and accelerate opportunities for superior growth in targeted areas. Our ultimate success will be highly dependent on our ability to improve our competitiveness while also living within our means, both in terms of financial resources and in terms of human capital.

Office of the Deputy Vice-Chancellor (Academic)

Overview

There are four multi-year projects below which are at various stages of design and implementation and respond to emerging needs around the leadership and quality of the academic environment

Achieving key objectives

Key objective 1:

Implementation of the Academic Governance Roles and Learning and Teaching Support Model

Significant achievements and major challenges:

The implementation of University-wide models for:

- a. The governance and delegations for academic-related matters and the associated roles, which are currently handled in differing ways across the University. An approach is being agreed for University-wide roles, delegations, and responsibilities
 - b. Learning design and teaching development support to improve the quality and consistency of courses and teaching delivery
- Current resources in this area are uneven and not always applied to strategic priorities
 - There are both central and faculty units dedicated to this area, to be reviewed and configured to enhance professional pathways and career opportunities for those working in this field

Strategic initiatives to improve/maintain performance and address challenges:

- Ensure resources are aligned with strategic priorities and annual plans
- Build management processes for the allocation and management of support resources

KPI that measures the achievement of the objective:

- Benchmarking of resources and roles with comparative universities
- Improvement in course evaluations in questions related to the organisation of a course
- Defined professional pathways and job descriptions and role clarity

Key objective 2:

Review of Academic Integrity

Significant achievements and major challenges:

A working group has been established by the Deputy Vice-Chancellor (Academic) and endorsed by the Teaching and Learning Quality Committee to review processes and policies related to the development and practice of Academic Integrity.

The Working Group will examine current practices with a view to making recommendations that will support enhancements to associated policy and processes. The Working Group will:

- Review the University's current mechanisms for prevention and detection of academic misconduct with a view to making recommendations on enhancement;
- Review the University's processes for academic integrity education and training, including the Academic Integrity Module, with a view to making recommendations on enhancement;
- Review and recommend ways academic integrity information and principles may be built into courses and programmes, especially in the context of the new assessment policy;
- Feed into, as appropriate, ongoing work to review the Student Academic Conduct Statute and make recommendations on ways to support effective implementation;
- Review current processes for recording and reporting instances of academic misconduct with a view to making recommendations on ensuring consistency and developing reporting that supports good decision making across the University.

Strategic initiatives to improve/maintain performance and address challenges:

- Ensure the University's approach for handling integrity issues is aligned with best practice
- Develop teaching and support staff capacity to develop and embed student practice
- Improve the way we employ systems which support the detection and prevention of plagiarism

KPI that measures the achievement of the objective:

- Benchmarking with peer universities in the practice related to academic integrity

Office of the Deputy Vice-Chancellor (Academic) \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	2,907	3,193	3,799
People costs	2,732	2,893	3,463
Operating expenses	1,018	1,251	1,384
Depreciation and lease costs	112	121	114
Occupancy	104	120	166
Total Expenditure	3,966	4,385	5,127
Net Cost	(1,059)	(1,192)	(1,328)
Certificate of Academic Preparation	(411)	(492)	(526)
Auckland University Press	(462)	(464)	(454)
DELNA	(427)	(429)	(455)
Programme at MIT	(181)	(136)	(176)
Tertiary Foundation Certificate	422	329	283

- Improved handling of disciplinary issues
- Reduction of plagiarism

Key objective 3: Academic Audit

Significant achievements and major challenges:

Undertake a self-review exercise and prepare the academic audit portfolio:

- c. review activities across teaching, learning, support and outcomes for students to support the preparation of the audit portfolio.
 - d. identify University-level enhancement initiatives
- Prepare for the visit of the external audit panel in mid-2021.
 - the University is the first institution to be audited in Cycle 6, and the first to have Enhancement Theme activities audited.
 - It is important to engage staff and students across the University with self-review activities and the audit visit.

Strategic initiatives to improve/maintain performance and address challenges:

- Effective management of the audit process through the Office of the DVC(Academic) and the Academic Quality Office
- Audit Steering Group with membership from across faculties and service divisions
- Faculty liaison contacts appointed to improve information flow from faculties
- Careful communication strategy for audit self-review and audit visit

KPI that measures the achievement of the objective:

- Self-review portfolio completed and submitted on time
- University enhancement initiatives identified in self-review inform quality assurance and strategic planning processes
- Audit visit was undertaken successfully with commendations of University activities in public report



8.2

Annual Plans and KPIs: Service Divisions

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Academic Services

Overview

Academic Services leads the development and delivery of process, advisory, and information services to students encompassing admissions, enrolment, fees, examinations, academic timetabling, the learner record, scholarships, and graduation. We support the academic programme framework and provide trend reporting to enable better decision-making, especially relating to recruitment and retention activities.

Achieving key objectives

Key objective 1:

Lead further improvements to student services by implementing initiatives in the Student Services Strategy and review the function, including enhanced academic advisory services.

Significant achievements and major challenges:

Students' experience of services has improved through the provision of better information and the redesign and simplification of digital processes. We have harnessed technological advances to reduce cost and effort in managing high volume transactional activity and have introduced new models through AskAuckland Central to support provision of in-person services and expanded course advice clinics.

Further simplification of our regulations and processes will improve our automated services, while enabling the University to develop an integrated, professional advisory service. The provision of learning analytics will support students through targeted retention strategies and inform operational process development through enhanced reporting. Processes supporting the assessment of student learning are being transformed with digital assessment initiatives.

Challenges include delivering greater efficiency through automation of transactions without impacting service delivery; developing consistent services for student contact and advice, and ensuring process improvements are aligned across all service providers.

Strategic initiatives to improve/maintain performance and address challenges:

- Finalise the Student Services Strategy, to inform and prioritise improvements to student services and define responsibilities and accountabilities

- Develop an academic advisory framework across all services to support better provision of programme, course and progression advice
- Support the development and implementation of digital assessment initiatives
- Development of a staff/student collaboration forum to co-design processes and services

KPI that measures the achievement of the objective:

- Query resolution at first point of contact
- Reduced volume of inbound inquiries
- Student enquiry satisfaction surveys

Key objective 2:

Achieve student admission and enrolment targets and support retention strategies.

Significant achievements and major challenges:

The Student Digital Journey programme has delivered significant advances through the new Apply to Study experience and has built the platform for student analytics. Implementation of recommendations from the Strategic Recruitment and Admissions (SRA) project has enabled simplification of regulations, processes and enhanced delegations. Online programme and entry requirements continue to be simplified and our database developed, to assist transferring applicants to determine eligibility for transferring course credits.

Achieving admission and enrolment targets remains challenging. We need to support Marketing and Recruitment strategies (Auckland Online and Fast Track offers) by providing a highly personalised service for future students. Current organisational structures and aging technologies in our Contact centre prove to be a deterrent.

Strategic initiatives to improve/maintain performance and address challenges:

- New organisational design and technology platform to support Student Contact and Support to transition to intensive case management
- Extend new Admissions platform to doctoral and Agents
- Create a 'game' for prospective students aligning their interests and experience to study options

Equity Office \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	1,057	995	987
People costs	8,994	9,335	9,704
Operating expenses	1,524	1,550	1,598
Lease costs	0	-	-
Depreciation	10	2	-
Occupancy	760	966	770
Total Expenditure	11,288	11,852	12,072
Net Cost	(10,231)	(10,857)	(11,085)

- Develop a student analytics service delivery model that supports recruitment, retention and achievement strategies
- Develop a service hub at the new South Auckland Campus

KPI that measures the achievement of the objective:

- Time taken for admission decision
- % of total application programme decisions made in Applications and Admissions
- # of concession requests (enrolment completion)
- % applications converted to enrolment

Key objective 3:

Support Campus changes and impacts for teaching delivery.

Significant achievements and major challenges:

The closure of Tamaki Campus and lecture theatres on the City Campus and the proposed move of the Faculty of Education and Social Work will pose additional challenges for the academic timetable. Analysis of impacts on teaching space will be a high priority to support equitable allocation of space.

Strategic initiatives to improve/maintain performance and address challenges:

- Support Campus planning and equitable allocation of space through analysis and insights as well as utilisation of specialist spaces.

KPI that measures the achievement of the objective:

- Annual term use of teaching spaces +/-5% of University Targets of General Teaching Space
- Utilisation of specialist teaching space +/-5% of University Targets

Operational risks

Student expectations of service have changed necessitating a more student-centric approach and resources must be available to support process transformation, reducing effort and streamlining processes.

A balance between quality and quantity processing must be achieved, and additional resources considered to support more intensive case management. A focus on timely and personalised engagement is required to achieve strategic targets.

Prioritisation of resources

We will prioritise resources to support process simplification and automation and to support more intensive case management.

Budget strategies to remain within current levels of resourcing

Strategies include implementing automated technologies to reduce the effort in managing student inquiries and high volume transactional processing. This will reduce the need for staff intervention and release resources for other activities.

Campus Life

Overview

The purpose of Campus Life is to enhance the student experience: providing support systems and an engaging campus environment to help students achieve academically, socially and personally. Students who have a strong sense of belonging from the start of their university experience are more likely to persist through difficult times. Those who suffer difficulties benefit greatly from timely and effective support. Those who engage in co-curricular activities develop friendships and support networks that increase their sense of belonging, provide support in difficult times and provide a life-long affiliation with the University.

Achieving key objectives

Key objective 1:

Significant achievements and major challenges:

Significant achievements and major challenges:

Provision of student accommodation helps attract and retain high potential students providing memorable and sustainable campus experience for all. Despite expanding the student accommodation from 1,300 beds to 3,600 beds, the primary challenge remains to meet increasing demand.

Strategic initiatives to improve/maintain performance and address challenges:

- Meet the strategic target of 7,500 beds by 2026.
 - Waiparuru Stage Two (Whitaker Hall rebuild)
 - Law School/Fisher Building Zone redeveloped into student zone
 - 49 Symonds/O'Rorke
- Open the new Waiparuru Hall and Te Tirohanga
- Create a structure to support and enhance the \$60 million dollar business that accommodation has become.

KPI that measures the achievement of the objective:

- Beds available and number of applications for accommodation

Key objective 2:

Student Support and Engagement

Significant achievements and major challenges:

The Student Engagement and Wellbeing team delivers health and counselling, student wellbeing program,

early childhood centres, first year transition (including UniGuides, orientation), student events, student enrichment (co-curricular award, leadership and volunteering) and support for student organisations.

Building on successful operational efficiency initiatives that have seen appointments increase by 15% in each of the last two years, the Health and Counselling Service will continue to expand its range of services to include more digital and tele services, thus catering more effectively to the diverse and dispersed student population. The Student Engagement Team will continue to build on its university-wide leadership of transition and orientation, including further enhancements to online information for new students and tailored, targeted communications in collaboration with the marketing team.

Strategic initiatives to improve/maintain performance and address challenges:

- Implement a new Patient Management System for the Health and Counselling Service.
- Pilot the Te Papa Manaaki | Campus Care service in two Faculties
- Implement the Harmful Sexual Behaviours Action Plan
- Rollout online modules for Bullying, Harassment and Discrimination (BHD), deliver face to face training on BHD and harmful sexual behaviours
- Work towards developing a Student Services Agreement with AUSA
- Maintain the current level of student experience in Sector 300
- Implement recommendations for future ECE centre provision including student-parents support outside of ECE

KPI that measures the achievement of the objective:

- Average wait time for counselling appointment
- Average wait time or medical appointment
- UHCS customer satisfaction
- Students new to the University engaging in orientation activities

Key objective 3:

Significant achievements and major challenges:

Sport and Recreation supports a high quality student experience by helping students to play

Campus Life \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	59,295	65,029	78,195
People costs	16,825	18,143	20,406
Operating expenses	17,503	31,066	39,505
Lease costs	22,106	22,895	25,918
Depreciation	1,435	1,575	1,829
Occupancy	19,165	7,269	9,728
Total Expenditure	77,035	80,948	97,386
Net Cost	(17,739)	(15,919)	(19,191)

sport and exercise on campus with their peers. Providing conveniently located and accessible informal recreation facilities will enable more students to be engaged in University life. Until the completion of the Recreation Centre in 2023, delivering sport and recreation services will be a challenge.

Strategic initiatives to improve/maintain performance and address challenges:

- Plan for the new Recreation and Wellness Centre including change management
- Develop interim facilities and services for when the recreation centre is demolished
- Develop partnerships with external organisations to ensure sport and recreation delivery
- Develop alternative programs and services to support student physical health and wellbeing

KPI that measures the achievement of the objective:

- Overall customer satisfaction
- Informal recreation facilities available
- Female membership

Key objective 4:

Significant achievements and major challenges:

Commercial Services provides services that require skills not readily available in faculties and service divisions.

A 10-year programme to transform the retail experience on campus has commenced, with several

new food brands and operators successfully introduced in recent years.

Successes in attracting international conferences, most notably APAIE in 2021, the opportunity exists to target additional conferences of strategic value to the University.

Focus on growth revenue through the Summer Stays programme can support the development of the Accommodation portfolio.

Strategic initiatives to improve/maintain performance and address challenges:

Progress implementation of retail strategy.

Respond to disruption from Recreation Centre development to ensure retail provision is maintained.

Acceleration of the Summer Stays programme for growth revenue.

KPI that measures the achievement of the objective:

- Transactions at campus retail stores
- Overall satisfaction with campus retail

Our People

Specific initiatives to ensure highly skilled, diverse and engaged workforce:

- Development of a Campus Life People plan.
- Map career development of Campus Life staff.

Achievement will be measured by the Staff Engagement survey.

Communications and Marketing

Overview

Communications and Marketing comprises four sections; Communications, Marketing, Schools Partnership Office and Web. The Division is responsible for fostering positive relationships with future students and their influencers, staff and the media through: showcasing the University's achievements, successes and positive impact on the communities we serve; provision of high quality and accessible information for future students, influencers and careers advisors via the University's website, advertising, content, publications, and events; the development and management of the University of Auckland brand and reputation; the recruitment of high-achieving and highly able undergraduate and postgraduate students; the provision of internal communications; and interacting constructively with the media and website governance.

The University of Auckland has a highly positive reputation amongst Auckland schools, parents and communities but is less considered as a study destination out of Auckland. Activity to differentiate the University and broaden preference include school visits, parent information sessions, media campaigns, the provision of high quality content, promotion of accommodation and scholarship opportunities, promotion of the student experience, a focused campaign to convert to enrolment and providing an inspiring experience at Open Day. Engaging with schools will provide further opportunities for marketing and recruitment activities to be coordinated across the University.

Postgraduate Festival provides an opportunity for potential postgraduates to engage with staff and current students and to view the University's teaching and research environment. Webinars hosted by academic staff members specifically target regional prospective students, will continue in 2020. Campaigns designed to attract very able graduates from other New Zealand universities include a 'hosted' visit to the University.

The Communications function ensures the University is represented fairly and accurately in the media; manages issues and crisis proactively and sensitively; and leads and supports internal communications to ensure University staff and other internal stakeholders are informed and engaged.

Achieving key objectives

Key objective 1:

Recruitment of high achieving and highly able school leavers and postgraduate students

Significant achievements and major challenges:

- Approval of a 3-year strategic marketing plan
- Transformation of the University's website
- Establishment of content partnerships with key media partners
- Introduction of marketing automation to enable timely, relevant and personalised communications
- Establishment of web policies, standards and guidelines
- Production of cohort-specific high-quality content
- Introduction of webinars for regional prospects
- Growing trends of high achievers considering Australian universities or not attending university.

Strategic initiatives to improve/maintain performance and address challenges:

- Development of a new approach to engaging with schools
- Development of content strategy that aligns with campaigns, events, social media and outbound via the Student Contact Centre
- Recruitment activities that focus on mobile Aucklanders and specific regions
- Promotion of scholarships and accommodation options
- Promotion of the student experience
- Promotion of new programmes
- Graduate Destination Survey findings to promote career outcomes
- Further alignment of cross-University marketing and recruitment activity
- Support Engineering and Science to grow enrolment of female students.

Communication and Marketing \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	7	8	4
People costs	3,615	4,106	4,138
Operating expenses	3,732	3,514	3,409
Lease costs	19	13	-
Depreciation	35	28	57
Occupancy	221	503	219
Total Expenditure	7,621	8,164	7,823
Net Cost	(7,614)	(8,156)	(7,819)

KPI that measures the achievement of the objective:

- Achievement of intake targets.
- Share of high achieving and highly able students.
- Number of transferring students (commencements)
- Brand Power scores, Auckland and Rest of New Zealand.

Key objective 2:

Brand and reputation management

Significant achievements and major challenges:

- Approval of a 3-year strategic communications plan
- Establishment of effective content partnerships with media outlets
- The highest Share of Voice in New Zealand media
- The University's website has transformed to become modern, mobile-responsive, accessible and easier to navigate.
- Challenge to successfully communicate the distinctive position of the University within NZ in terms of its research intensity and breadth.

Strategic initiatives to improve/maintain performance and address challenges:

- Communicate market research findings to support strategy development

- Carefully manage issues; ensure communications processes and protocols are best practice
- Communicate widely to key audiences the innovative and entrepreneurial successes at the University
- Promote sustainability successes including the University Impact Ranking
- Build new and strengthen existing strategic partnerships
- Grow media coverage internationally
- Launch the 'research beacons' programme.

KPI that measures the achievement of the objective:

- Market research monitor key reputation indicators
- Stakeholder engagement with University research achievements, news and opinions.

Key objective 3:

Internal communication

Significant achievements and major challenges:

- Approval of an internal communications strategy.

Strategic initiatives to improve/maintain performance and address challenges:

Increase understanding among staff of the University's strategic and operational priorities.

Build an efficient University-wide system of internal communication channels.

Lift awareness and engagement among staff on news, events, issues, projects and operational requirements relevant to them.

KPI that measures the achievement of the objective:

- Staff engagement score

Operational risks

The demand for Communications and Marketing services continues to grow; available resources are tightly constrained.

Non-compliance with policies and guidelines.

Prioritisation of resources

Resource will be prioritised toward recruitment of able students and growing the University's reputation.

Budget strategies to remain within current levels of resourcing

Communications and Marketing has two key strategies:

- Monitoring costs associated with events and sponsorships.
- Introducing an alternative approach to engaging with schools.



Digital Services

Overview

Digital Services consists of Connect (formerly ITS), Digital Strategy & Architecture, NeSI, and the newly created Auckland Online.

NeSI is a national research infrastructure founded as a collaboration to grow researchers' computational capabilities and skills, providing high performance computing (HPC) alongside technical and human expertise. Auckland Online's expedites the University's entrance into the 'fully online' programme market; as well as strengthening capability within each faculty specific to online programmes.

Planned benefits of the IT function review will be delivered, continuing to meet increasing service expectations. The expectations around performance, resilience and security remain, complemented with an uplift in customer service, engagement and embracing both new technologies and ways of working that are more responsive to rapid change. This requires an uplift in digital literacy and capability. The continuing people focus embraces diversity and inclusion. There will be significant investments in both student digital experience and the ongoing strategic adoption of cloud services.

Achieving key objectives

Key objective 1:

Research Enablement

- Be an active and influential voice for change - formulate innovative future strategies and achieve better connectivity of institutions and methodologies (data, standards, methods and investments)
- Growing researcher capacity utilising technology better across range of eResearch platforms, to gain research advantage
- Enhance support of research processes, practices and impact

Significant achievements and major challenges:

- Successful positioning of eResearch as a top priority in MBIE's research infrastructure investment strategy
- Achieve connectivity between a range of local institutional and national investments to support

researcher needs with sustainable investment and business models

- Development of a research support ecosystem through the IRIS programme

Strategic initiatives to improve/maintain performance and address challenges:

- Complete business case to MBIE and NeSI's collaborators for next phase of investment into and evolution of NeSI
- Enhance local and national landscape of eResearch platforms and research data
- Revise NeSI's National Platforms Roadmap and priorities for platform investment and service evolution
- Support IRIS Infrastructure and research systems implementation

KPI that measures the achievement of the objective:

- Annually, NeSI services meet needs (>80% user satisfaction)
- Researcher satisfaction with research support ecosystem

Key objective 2:

Extend the reach and impact of University programmes and courses

- Diversity of revenue streams
- Embed capability and expertise specific to the provision of online delivery within faculties, enabling them to scale in the future

Significant achievements and major challenges:

- Establishment of Auckland Online and establishment of initial offerings
- Strategic positioning of short course and micro-credentials framework

Strategic initiatives to improve/maintain performance and address challenges:

- Implement and extend Auckland Online
- Establishment and support of micro-credentials
- Support the utilisation of new and existing capabilities to enhance learning outcomes, including learning analytics
- Support the Learning & Teaching programme, including digital assessment and exams

Digital Services	2018	2019	2020
\$'000	Actual	Forecast	Budget
Revenue	23,105	18,592	16,885
People costs	32,159	36,561	38,627
Operating expenses	27,657	26,000	25,329
Lease costs	243	164	176
Depreciation	16,914	17,569	19,030
Occupancy	17,532	18,521	21,605
Total Expenditure	94,505	98,815	104,766
Net Cost	(71,399)	(80,222)	(87,882)
Information Technology Services (ITS)	(58,191)	(65,479)	(71,632)

KPI that measures the achievement of the objective:

- # new postgraduate programmes launched
- # new student enrolments per intake
- Minimised student attrition

Key objective 3:

Enable core University objectives

Focus on Learning and Teaching Enablement, Student Experience, Organisational Performance and Service & Systems Quality.

- Support digital transformation and implementation of the University's digital strategy
- Deliver benefits from increased innovation including sources internal and external. Modernise legacy cultures, infrastructures, and capabilities into adaptive ways of working enabled by flexible technology platforms
- Focus on service enhancement by combining customer needs with value and cost of delivery

Significant achievements and major challenges:

- Implementation of IT function restructure and further embedding Agile practices
- Cloud capability established
- Student mobility across campuses

Strategic initiatives to improve/maintain performance and address challenges:

- Enabling digital transformation capability across the University
- Connected student and prospect experience and success
- Enhance delivery capacity and capability through increased use of cloud infrastructure and services
- Data centre modernisation & planning a single centre model

KPI that measures the achievement of the objective:

- IT Service Quality benchmarking survey
- IT Transformation progress

Key objective 4:

People

- Grow Digital Services brand, improving ability to attract and retain the best talent
- Transform legacy skills, culture and working practices, and embed values
- Grow diversity, particularly in the areas of gender, youth and Māori/Pacific

Significant achievements and major challenges:

- New IT function structure 2019
- 100% of staff assessed against internationally recognised skills framework
- Career framework established supporting transparent career paths plus our IT Academy ConnectEd
- Extensive Agile foundations training

Strategic initiatives to improve/maintain performance and address challenges:

Continue to execute on strategic workforce management programme

KPI that measures the achievement of the objective:

- % of women in workforce/leadership roles
- % Māori / Pacific in workforce/leadership roles
- Staff satisfaction / staff engagement

Operational risks

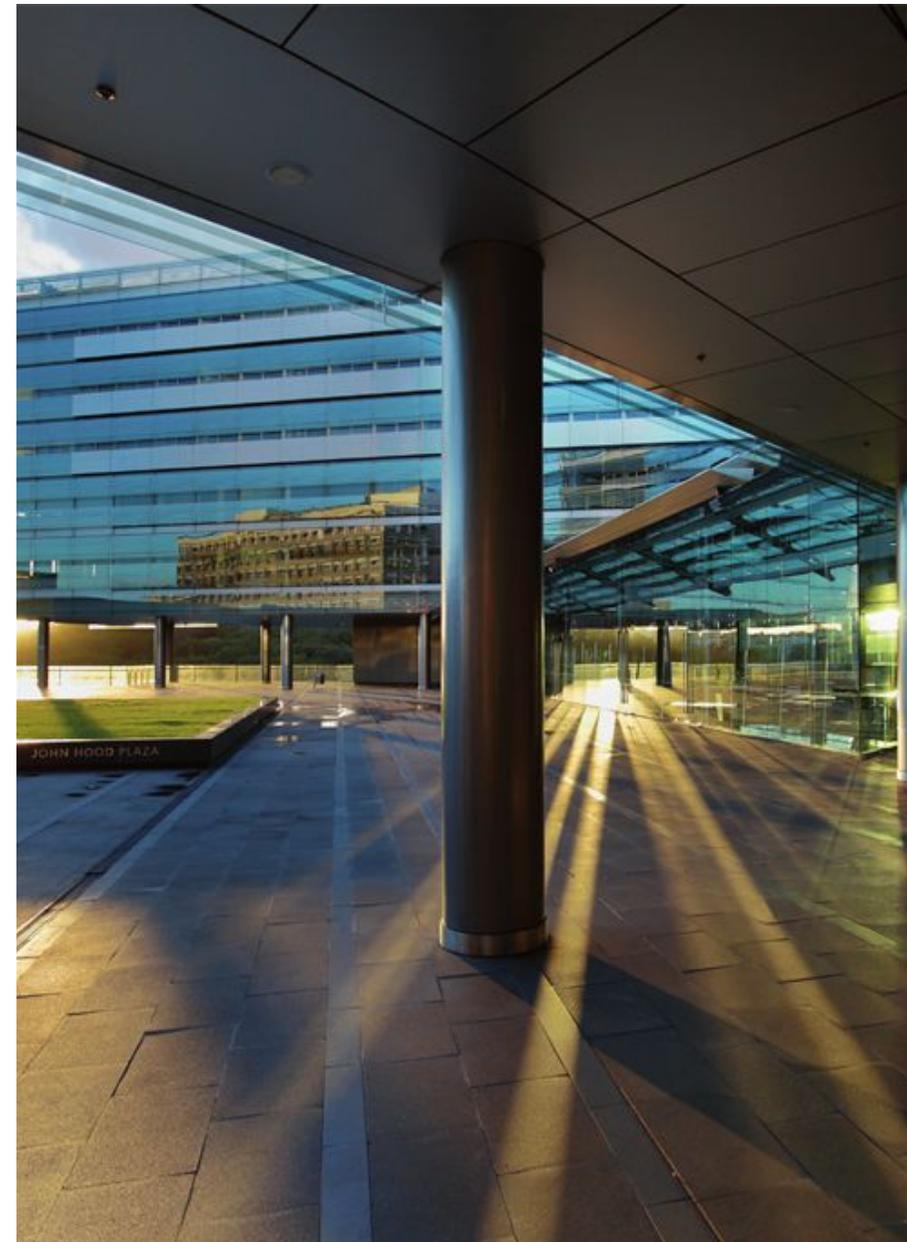
- Recruiting & retention in specialist areas
- Cybersecurity

Prioritisation of resources

- Service efficiency and effectiveness, shifting from run to grow
- Programmes supporting strategic priorities
- Cybersecurity awareness and prevention, including business continuity planning

Budget strategies to remain within current levels of resourcing

- Maintaining numbers at benchmark
- Recycling vacant roles appropriately
- Managed lifecycle maintenance, associated risk acceptance
- Retire low value services
- Establish strategic partnerships



Equity Office

Overview

The Equity Office, Te Ara Tautika, leads the University's commitment to be a safe, inclusive and equitable place for all students and staff.

Equity commitment and performance enhance the University's reputation by attracting, retaining and supporting Māori and equity group students and staff, contributing to New Zealand's wellbeing and to the UN Sustainable Development Goals.

The Equity Office works in partnership with the Offices of the Pro Vice-Chancellor Māori and Pro Vice-Chancellor Pacific. Engagement with diverse student groups, student representation on committees, networks, advisory groups and communities of interest ensure student voice in equity policy and practice.

Equity Office activities include equity governance, strategy, policy, programmes, resources, training, monitoring, reporting and the provision of advice. Key functions include leadership and coordination of the Equity Leadership Committee, Equity Community of Interest, Rainbow Network, Students from Refugee Backgrounds Advisory Group, Disability Programme Advisory Group and the Family Violence Project.

Student Disability Services leads the Equity Office's support, advice and advocacy to over 900 students with visible and invisible disabilities annually.

Recent achievements include the University Disability Programme; enhanced equity communications; staff equity training; collaboration to establish the Harassment Governance Group; and enhancement of bullying, harassment and discrimination policy, training, communication and reporting.

Achieving key objectives

Objective 1:

Enhance participation and wellbeing of diverse, under-represented and/or marginalised groups.

Significant achievements and major challenges:

- Partnership with Pro Vice-Chancellors Māori and Pacific.
- Outreach to Māori and equity group students.
- Initiated the collection and curation of data to support evidence-based policy and programmes.

- Training provided on unconscious bias, family violence, staff equity induction
- Policy development and advice.
- Significant contribution to policy, training and communications.
- Monitoring, advising and reporting on equity in employment processes.

Major challenges:

- Balancing academic freedom, freedom of expression and achieving a safe, inclusive environment
- Uneven awareness and implementation of equity principles and practice.

Strategic initiatives to improve/maintain performance and address challenges:

- Support collaboration across the University community on freedom of expression; academic freedom; and safety, inclusivity and equity
- Review Equity Policy including definition of equity groups
- Enhanced equity communications
- Increased awareness and participation in the Family Violence project
- Strategic review of resources and interventions aimed at addressing unconscious bias
- Effective collaboration with Students from Refugee Backgrounds, Disability and Rainbow advisory groups.

KPI that measures the achievement of the objective:

- Increased use of equity webpages by 20% by 2021
- Increased participation in Family Violence training.

Objective 2:

To enhance the University of Auckland environment as accessible and inclusive for people with disabilities

Significant achievements

- Progress of the University of Auckland Disability Programme 2017-2020.

Equity Office \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	2,527	2,490	2,568
People costs	2,911	2,731	2,815
Operating expenses	956	1,064	1,040
Lease costs	4	3	-
Depreciation	11	9	17
Occupancy	181	214	177
Total Expenditure	4,063	4,021	4,049
Net Cost	(1,535)	(1,531)	(1,481)

- Record number of students with disabilities registering with Student Disability Services.
- Significant inclusion of voices of students with disabilities in policies, advice, practice and communications.
- Memorandum of Understanding with Workbridge to enhance students with disabilities' transition into meaningful employment.

Major challenges:

- Uneven awareness of the support available for people with disabilities in the University.
- Students with disabilities' low level of educational achievement in schools.
- Under representation of Pacific students with disabilities.
- Low levels of disclosure of staff with disabilities.
- Slower progress on the physical environment and digital accessibility audits
- Lack of clarity about the support for international students with disabilities.

Strategic initiatives to improve/maintain performance and address challenges:

- Increase awareness, understanding and disclosure of disabilities.
- Engage with PVC Pacific and Pacific communities to increase registration of students with disabilities.
- Develop a University of Auckland Disability Action Plan 2021-2023.

- Collaborate with the International Office to progress support for international students with disabilities.

KPIs that measures the achievement of objective:

- Increased rate of self-disclosure by staff with disabilities.
- Increased registration of Pacific students.
- Implement Development of the University Disability Action Plan 2021-2023.

Objective 3:

Foster, encourage and enhance the use of Te Reo Māori by Equity Office – Te Ara Tautika staff

Significant achievements:

Partnership with Pro Vice-Chancellor Māori and Runanga.

Major challenges:

- Varying levels of skill and experience
- Ensuring adequate time for training and implementation.

Strategic initiatives to improve/maintain performance and address challenges:

- Training on Te Reo and tikanga will be provided to all staff in the Equity Office
- A Māori language initiative for Equity Office staff will be developed and promoted for Te Wiki o te Reo Māori (Māori language Week) 2020.

Budget strategies to remain within current levels of resourcing

- Continued management of budgets across the office.



Financial Services

Overview

The objective of the Financial Services Division is to provide financial leadership and trusted advice that supports internal clients and the University to make the best use of their financial resources in achieving strategic objectives. It will do this through:

- Leading the ongoing evolution and implementation, including funding, of the financial strategy necessary for sustainable delivery of the University's strategic objectives.
- Leading the establishment and framework around service commitments, business partnering, and continuous improvement strategies that appropriately reflect the expectations of a high-performing and service-oriented finance function.
- Providing prudent strategic and financial advice to the Vice-Chancellor, Deputy Vice-Chancellor (Operations) & Registrar, Senior Leadership Team, University Committees (Finance, Audit & Risk, Capital Expenditure) and University Council.
- Continue to transform our service delivery model to improve financial services to the University in a more cost effective manner.
- Ensuring financial information provided to support decision-making provides clear explanations of financial issues and their implications.
- Leading a continually improving, effective budgeting and forecasting process that integrates with and informs strategic and operational plans thereby contributing strongly to the University's planning processes.
- Leading the University's medium and long term financial forecasting process and the development of capital plans within policy, funding and regulatory constraints.
- Delivering strategic procurement over the plan period including the active management of key suppliers, the delivery of procurement savings, and ensuring that appropriate procurement best practise is used for all significant purchasing activity.
- Providing risk management, assurance and insurance services to the University Group, integrated with strategic initiatives and implementation.
- Continual development of the transaction service, ethics, and research operation centres.

Achieving key objectives

Key objective 1:

Improving the efficiency and effectiveness of transactional processing.

Significant achievements and major challenges:

Continuing to drive improvements to internal customer service levels and the efficiency of transactional processing, particularly those relating to the Shared Transaction Centre, Ethics and the Research Operations Centre.

Continuing to embed and stabilise ROC within the University, including detailed process documentation and identification of pain points and bottlenecks.

Continuing increase in customer satisfaction and reduction of pain points.

Strategic initiatives to improve/maintain performance and address challenges:

Prioritise improvements for processes with high transactional volumes in AR, AP, Credit and Billing. Complete the centralisation of core financial accounting functions.

Increase the resolution of queries at first point of contact by ensuring that the team have appropriate access to core systems and data. Improve reporting capability to enable the early identification of issues and to lead to development of appropriate knowledge base articles to aid the early resolution of issues.

Continue the standardisation and cost out trajectory from the RPA work e.g., to increase invoice scanning 'straight through' rates.

Creation of a fit for purpose ROC and Financial Control Structure.

KPI that measures the achievement of the objective:

- Customer satisfaction
- Outstanding Research Billing Amount
- Cost per transaction
- Time per activity e.g. New Supplier Set-up, Ethics Low Risk Approvals

Financial Services	2018	2019	2020
\$'000	Actual	Forecast	Budget
Revenue	43	3	-
People costs	10,052	14,020	15,851
Operating Expenses	1,897	2,254	2,195
Lease costs	143	98	1
Depreciation	127	204	274
Occupancy	315	487	381
Total Expenditure	12,534	17,063	18,701
Net Cost	(12,491)	(17,059)	(18,701)

Key objective 2:

Finance Capability and Talent

Significant achievements and major challenges:

Enhance and develop finance capability and talent to enable the rollout of a trusted OneFinance service delivery model and brand.

Strategic initiatives to improve/maintain performance and address challenges:

- Facilitate talent identification and retention activities
- Build on OneFinance culture
- Career path clarity through a Finance Capability Framework

KPI that measures the achievement of the objective:

- Capability maturity measure
- Evolve personal development plan completion

Key objective 3:

Enhanced financial insight for decision making

Significant achievements and major challenges:

Continue implementation of the Finance Function Review including: further implementation of the Business Partnering Service Delivery Model; Enhancement of our Budget and Financial planning processes; Embedded Decision Making model; and regular OneFinance sessions.

Strategic initiatives to improve/maintain performance and address challenges:

- 'OneFinance' leadership and purpose activity
- Roll out of an Embedded decision making model
- Addressing training needs via Finance Capability framework
- Development of Finance Service commitments with key stakeholders

- Standardised reporting framework and tools developed

KPI that measures the achievement of the objective:

- Staff engagement
- Operating surplus as a percentage of revenue.
- TEC risk assessment rating
- Customer feedback
- Capability maturity measure

Operational risks

The key operational risk for OneFinance is the risk of losing trust with stakeholders – this may be through a failure of core systems and/or infrastructure that supports the transactional processes, failure to understand, report and influence performance trend lines, and a failure to properly engage with and understand the needs of staff, customers, colleagues, Council Members and other key stakeholders. A refresh of the Finance Business Continuity Plan is planned for early 2020 to reflect FFR changes and enhance system resilience. A stakeholder communications plan will continue to mitigate key stakeholder engagement risks.

Prioritisation of resources

Resource priority is given to those activities that deliver the biggest improvements in efficiency, customer service, and risk reduction.

Budget strategies to remain within current levels of resourcing

Budgets are monitored on an on-going basis, with regular adjustments being made to resource allocations.

Human Resources

Overview

The primary goal of the HR Service Division is to contribute to the achievement of key University of Auckland objectives, with a particular focus on developing leadership and promoting an engaging and high performing culture.

A significant focus for 2020 will be to develop a comprehensive induction and on-boarding programme for the new senior leaders, including the VC, and to assist with the strategic planning engagement process.

A continued focus this year is the development and delivery of the Leading Transformation programme which will support senior leaders in developing their leadership teams, with an emphasis on capability development, performance expectations and culture.

A further initiative will be the implementation of a new professional staff remuneration framework that will also allow us a modern and transparent system, and to conduct a gender pay audit which is planned for 2020. We will also be implementing the outcomes a review of the Evolve framework to ensure it is still fit for purpose.

Two business cases have been raised-

- Improving Health and Safety System will:
 - Improve the reporting culture across all University stakeholders.
 - Provide University, Faculty and Service division leadership better health and safety information.
- Work related Health and the development of an Occupational Health and Wellbeing function in HSW.

While the talent identification and succession planning is in its early stages, there has been a positive endorsement from Deans, Directors and Academic Heads as to the value they are getting from this work. HR will partner with the Pro-Vice-Chancellor (Māori), Pro-Vice-Chancellor (Pacific) and Pro-Vice-Chancellor (Equity) on a range of strategies to support the success and engagement of our Māori and Pasifika staff and to meet our gender equity objectives.

Significant BAU activities in 2020 include leading the discussion on action planning following on from the results of the bi-annual staff engagement survey.

Achieving key objectives

Key objective 1:

Provide effective HR services to the University, its faculties and service divisions.

Significant achievements and major challenges:

Continuing to provide customer-focused services while driving internal change in service delivery channels.

Strategic initiatives to improve/maintain performance and address challenges:

- Implement a health and safety management system.
- Review PeopleSoft HR in partnership with IT.
- Further implement a change resilience and agility framework.

KPI that measures the achievement of the objective:
HR customer satisfaction.

Key objective 2:

Support the University to develop its people and achieve a high performing culture.

Significant achievements and major challenges:

To ensure that the University is attracting and developing high calibre staff in order to remain a leading global university.

Strategic initiatives to improve/maintain performance and address challenges:

Gender Equity Goals:

- Conduct a pay equity audit. Report on gender applications through the recruitment process.

Other Initiatives:

- Continue implementation of the job evaluation, remuneration, and a total reward framework.
- To continue the Talent Management Strategy.
- To develop an Occupational Health and Wellbeing function in HSW
- To implement the outcomes of the review of the EVOLVE framework
- To review academic and leadership pathways and introduce programmes for priority audiences
- To implement Health and Safety self-assessments and to use the results to assist with priority setting

Human Resources	2018	2019	2020
\$000	Actual	Forecast	Budget
Revenue	2,337	2,119	2,190
People costs	10,276	10,896	10,975
Operating expenses	1,337	1,019	1,060
Lease costs	28	21	-
Depreciation	43	52	71
Occupancy	418	561	430
Total Expenditure	12,101	12,550	12,536
Net Cost	(9,765)	(10,431)	(10,346)

- To review the Academic Standards to ensure they are fit for purpose
- To expand the utilisation of the Career Tools system
- To implement an Employee Value Proposition (EVP).

KPI that measures the achievement of the objective:

Performance Culture, Health, Safety and Wellbeing.

Key objective 3:

Support the University's transformational change programmes through the provision of HR knowledge and expertise.

Significant achievements and major challenges:

Successfully developed and delivered a leading transformational change programme to support large scale change at the University.

Strategic initiatives to improve/maintain performance and address challenges:

- To lead the people change impacts across the University change programmes, including Student Services Review
- Review the Research Services roles
- Leading transformation programmes- Technical Services, Learning and Teaching, Finance, LLS and Connect.
- Support senior leaders to lead Health, Safety and Wellbeing initiatives.
- Lead the action planning discussion from the results of the biannual Staff Survey

- Continue to implement the priority recommendations of the Academic Heads role review and Academic Leadership Framework
- To support the University's Digital strategy
- Work with Pro-Vice-Chancellor Māori and Pacific to develop strategies to increase Māori and Pacific participation and to implement Te Reo/Tikanga policy
- To implement the Bullying, Harassment and Discrimination training
- To support the implementation of the Code of Conduct

KPI that measures the achievement of the objective:

HR deliverables across the change programmes.

Operational risks

Maintaining an HR workforce that has deep institutional knowledge to support both business as usual and change initiatives.

Prioritisation of resources

Resources will be prioritised across HR and University's workstreams using the portfolio/programme approach.

Budget strategies to remain within current levels of resourcing.

Strategies include ongoing monitoring and review of existing resources, service improvement through the implementation of the SDM and supporting University's business cases.

Libraries and Learning Services

Overview

Libraries and Learning Services (LLS) enables our students and staff to flourish by providing excellent opportunities, environments, services, resources, tools and expertise for learning, teaching and research. LLS encompasses libraries, information commons, student and researcher advisory services, and career development and employability services. Its online presence is the key gateway to collections and services 24/7.

2019 was a year of transition as staff in the recently changed organisational structure started working within a new service delivery model. 2020 will see continued implementation of the service delivery model to improve services enabling student and researcher success.

Achieving key objectives

Key objective 1:

Improve Libraries and Learning Services service delivery to develop quality client experience and build capability in learning, research and employability.

Significant achievements and major challenges:

A review of the client services function was completed in 2019 and a new team structure established aligned to the service delivery model. Progress was made on the development of international internship processes streamlining access to course-related resources, refocusing the Doctoral Skills Programme offering and inviting student participation in the development of generic online resources.

Challenges that need to be met include:

- Change as a result of University initiatives, e.g. Learning and Teaching Support Services Review, Student Services Strategy.
- Establishment of a South Auckland presence.

Strategic initiatives to improve/maintain performance and address challenges:

- Implement University customer service applications to manage Libraries and Learning Services client contact.
- Develop online resources to support student self-service.

- Work with Connect to upgrade Research Outputs (Symplectic Elements).
- Establish a team in South Auckland to manage student queries, learning support, and facilities.
- Develop and implement systems for the University Work-Based Learning Policy.
- Implement the LLS Culture Action Plan, including professional development programme and focus on Te Tiriti o Waitangi capabilities.
- Participate in the University Teams and Collaboration Project to improve the staff virtual working environment.

KPI that measures the achievement of the objective:

- Learning and Teaching Survey - satisfaction with Library resources and facilities.
- % LLS employee engagement score in the University staff survey

Key objective 2:

Consolidate collections and services in fewer physical locations and align collections with academic foci and research directions.

Significant achievements and major challenges:

As usage of electronic collections continues to rise, physical item loans have reduced (60% 2011-2018). Recent structure and service delivery changes were based on realigning space and staff time to reflect this shift.

Consolidating collections from the CAI libraries into the General Library and from Tāmaki to the Philson Library is well underway and included the application of assessment methodologies developed to identify high-use material to remain on campus and low-use material to be kept as part of the On-Demand Collection.

Challenges that need to be met include:

- Minimising the impact of reduced access to material during consolidation activities
- Ensuring easy access to low-use material kept off-campus

Strategic initiatives to improve/maintain performance and address challenges:

- Develop and implement a long-term collections strategy.

Libraries and Learning Services \$'000	2018 Actual	2019 Forecast	2020 Budget
Revenue	3,293	2,246	2,249
People costs	17,199	16,158	16,864
Operating Expenses	5,364	5,928	5,402
Lease costs	5,275	4,763	4,700
Depreciation	14,459	14,945	15,143
Occupancy	10,901	10,639	11,461
Total Expenditure	53,199	52,433	53,570
Net Cost	(49,906)	(50,187)	(51,321)

- Complete a project plan for consolidation of collections from the Epsom Campus.

- Improve access to off-campus collections.

KPI that measures the achievement of the objective:

- Learning and Teaching Survey - satisfaction with Library resources and facilities.

Key objective 3:

Realign Libraries and Learning Services spaces and supporting infrastructure, physical and digital, to enable the delivery of an improved client experience and enhance engagement with cultural collections.

Significant achievements and major challenges:

Student feedback indicates that the nature and quality of LLS spaces require attention. Reducing points of presence from fifteen in 2017 to nine by the end of 2019 is helping to reduce the cost of LLS services.

The introduction of Connect resulted in a new model for LLS IT product support and development.

Challenges that need to be met include:

- Working with Property Services to ensure identified work fits with existing capital projects and there is reduced impact on students and staff when work is underway.

Strategic initiatives to improve/maintain performance and address challenges:

- Investigate solutions for On-Demand Collection accommodation and infrastructure issues.
- Investigate and recommend solutions for future housing of all LLS cultural collections.

- Implement top priorities from the LLS business capability map.

KPI that measures the achievement of the objective:

- Learning and Teaching Survey - satisfaction with Library resources and facilities.

Operational risks

- Improving service quality, and gaining stakeholder buy-in where change impacts current services.
- Collaborating effectively with University partners at a time of significant change in both the teaching and research environments, and IT and property infrastructure.

Prioritisation of resources /Budget strategies to remain within current levels of resourcing

The new Service Delivery Model and related organisational structure, introduced in October 2018 and implemented throughout 2019 has led to significant savings in space and operational costs. This continues into 2020 and 2021.

Budget strategies to remain within current levels of resourcing

The implementation of the Service Delivery Model and organisational structure has reduced LLS staffing FTE, space occupancy costs and operational costs in general.

Organisational Performance and Improvement

Overview

The purpose of Organisational Performance & Improvement (OPI) is to support the achievement of the University's strategy by implementing strategic projects well, empowering people to embrace change, improving processes and lifting internal customer satisfaction and service effectiveness.

OPI focuses on:

- Support for strategic investment decision making
- Portfolio, programme and project management expertise
- Business process improvement, innovation and automation knowledge, and tools
- Change support, continuous improvement and benefits realisation
- Tracking and reporting on change outcomes and customer experience

There are five groups within OPI:

The **University Strategic Programme Office** (USPO) provides portfolio, programme and project management expertise and services to the University through consistent practices, support and knowledge sharing. Benefit realisation in support of the University's strategic investment decisions is a key focus.

The **Business Transformation Office** (BTO) supports the University to better manage processes, promote continuous improvement and provide practical project transition support. They do this by providing strategic projects and service owners with process leadership, change management support, analysis resources, and process automation expertise and tools.

The **Service Excellence Team** (SE) leads and supports the Service Essentials way of working (Visual Management Boards are a key component of this system), Communities of Practice/Interest and Service Standards.

The **Staff Service Centre** (SSC) focuses on the provision of information to enable staff across the University to effectively and consistently perform the activities required of their respective roles.

The **Vice-Chancellor's Support Services** (VCSS) team provides quality general administrative support for the Office of the Vice-Chancellor, including the

provision of ClockTower and Alfred Nathan House reception services.

Achieving key objectives

Key objective 1:

Building a foundation of excellent organisational performance

OPI specialises in end to end process improvement and change, from prioritising the investment needed to support change through implementation planning, engaging teams with the right skills, process improvement, process automation, building knowledge and staff capabilities and employing effective change practices.

Significant achievements and major challenges:

OPI has already achieved significant maturity in resource prioritisation, project and people capability. In 2019, OPI continued to lead the Higher Education sector in the development and deployment of process automation tools and capabilities.

In 2020 OPI will build and extend this capability. A specific area of focus will be on moving the process automation activities from a start-up phase to steady-state, including defining a clear and scalable model for funding automation development and realising its benefits.

Strategic initiatives to improve/maintain performance and address challenges:

Governance, Process and Project Management training

Focus on delivering to strategy through strategy mapping, benefits realisation, and visual display boards

Capability uplift through engagement with change projects

Key objective 2:

Supporting priority activities aligned to delivering strategic objectives

Significant achievements and major challenges:

OPI has played a key role in large strategic initiatives, such as IRiS, that drive towards key University strategic objectives such as revenue growth through

Organisational Performance and Improvement \$'000	2018 Actual	2019 Forecast	2020 Budget
Revenue	6,080	6,300	3,657
People costs	9,365	10,523	8,581
Operating expenses	677	1,538	1,451
Lease costs	29	32	15
Depreciation	83	499	498
Occupancy	134	216	94
Total Expenditure	10,288	12,809	10,639
Net Cost	(4,208)	(6,509)	(6,983)

increased Research and increased EFTS. There is further opportunity to employ strategy mapping techniques to highlight and compare the impact of new initiatives across the University and select those with the greatest value.

Strategic initiatives to improve/maintain performance and address challenges:

Establish pan-University strategy mapping, highlight gaps in implementation plans, evaluate and compare opportunities, recommend investment priorities, and monitor performance to plan.

Key objective 3:

Driving performance

Significant achievements and major challenges:

Through process improvement, automation, capability lift and a focus on benefit realisation OPI have partnered across the University to help drive an uplift in organisational performance, however, there remains significant opportunity to do more.

On a daily basis, the Staff Service Centre (SSC) continues to connect staff with the information and services they need to get things done. In support of improving gender equity, the SSC is to deepen its function and commitment to being a safe; confidential; trained first port of call for any staff member wanting guidance and direction on addressing issues of gender or other forms of harassment or impediment.

Strategic initiatives to improve/maintain performance and address challenges:

Two areas of focus:

Efficiency and effectiveness. Partnering with service divisions and faculties to use the increasing amount of data available across the University to identify scope for increased efficiency and effectiveness and collaborating to design and implement new ways of working and new products.

Advisory: making our significant business analysis and change experience available more broadly across the University, including in the design of new revenue positive products.

Budget strategies to remain within current levels of resourcing

As demand for services from the SSC continues to grow, the SSC headcount required to support those services would also be expected to increase. To offset that increase, automation activities will be utilised wherever possible to enable the increase in volume to be accommodated without the increase in resources.

Property Services

Overview

The Property Services Division develops the strategic vision for the University estate and maintains University property assets whilst overseeing an extensive capital works programme. It also incorporates the Sustainability Team, developing and facilitating the University's Sustainability Policy via engagement programmes and working to ensure incorporation of environmentally sustainable design principles into the wider divisional activities.

The Division's key deliverable services include:

- Strategic direction, planning, and delivery of the Capital Development Programme
- Operation, Security, and Maintenance of all buildings, grounds, and facilities
- Driving the University's environmental and sustainability performance
- Asset management
- Utility management
- Management of property transactions and leases
- Incident management and emergency coordination

Achieving key objectives

Key objective 1:

Capital Development Programme

Significant achievements and major challenges:

Significant recent achievements completed include Grafton Hall Student Accommodation; renewal and refurbishment of the heritage-listed Cloisters Building both completed on time and under budget. The next busy period will see 1400 people move ready for the start of the 2020 Semester 1.

Strategic initiatives to improve/maintain performance and address challenges:

Property Services continues to work collaboratively with the Auckland Council, and other external agencies to facilitate the future capital programme and protect University interests. Early engagement between consultant design teams and contractors through Pre-Construction Services Agreements are facilitated to reduce project risk and increase certainty around buildability, time and cost. During 2020 Campus Masterplans and strategic priority

planning will be reviewed to ensure currency with the new University Strategic Plan and Academic priorities.

KPI that measures the achievement of the objective:

- Timely completion of strategic projects to support the University Strategic Plan
- Introduction of Post Occupancy Reviews focusing on building performance, service delivery, end-user satisfaction & sustainability deliverables

Key objective 2:

Continuity of University Operations

Significant achievements and major challenges:

The significant restructuring of Facilities Management is now complete, a major achievement and a cultural shift from on-the-tools performance to contract management and oversight.

In response to the challenges of a large capital program and the increasingly complex plant and building environment, a risk-based approach to maintenance activities is undertaken with the assistance of both our internal Asset Management team and external service providers.

Strategic initiatives to improve/maintain performance and address challenges:

Property Services will continue to develop the Asset Management Plans and a Property Services Operational Plan in 2020.

To ensure success in delivering sustainable services focus will be placed on customer satisfaction measures utilising a variety of performance assessment and review tools.

KPI that measures the achievement of the objective:

- Completion of Asset Management Plans
- Key outsourced Facilities Management Service Providers meet contractual KPIs
- Cleaning QA Audits pass inspection

Key objective 3:

Contributing to the transition to a sustainable University through sustainability leadership across the University

Property Services	2018	2019	2020
\$'000	Actual	Forecast	Budget
Revenue	154,847	168,055	200,036
People costs	13,355	13,907	13,959
Operating expenses	49,854	56,952	68,992
Lease costs	7,605	8,178	9,203
Depreciation	76,324	86,482	99,843
Occupancy	1,163	1,392	5,834
Total Expenditure	148,301	166,912	197,831
Net Cost	6,545	1,143	2,206

Significant achievements and major challenges:

The Sustainability team organised New Zealand's second national Sustainable Development Goals Summit, which attracted 420+ speakers and delegates from government, civil society, business, education, and health, and strengthened the University's leadership across the social, economic and environmental aspects of sustainability.

Challenges include ensuring consistency in the application of sustainability principles across a significant property portfolio and a large number of stakeholders. Improvements in building efficiency are eclipsed by increases outside PS' remit, further emphasising the importance of cross-university collaboration.

Strategic initiatives to improve/maintain performance and address challenges:

Property Services will update standard operating procedures, to include sustainability standards for application across the property portfolio.

The Sustainability team will facilitate a collaborative process to draft a University-wide Sustainability Strategy and Carbon Reduction Management Plan.

KPI that measures the achievement of the objective:

- Energy consumption in buildings (kWh/m2 GFA)
- Water consumption (cu.m/m2 GFA)
- Waste to landfill (cu.m/EFTS)
- Carbon emissions (t-e CO2/EFTS)
- % of operating standards reviewed, revised and developed to include sustainability standards

- % of contracts including sustainability-related non-price attributes

Operational risks

The Auckland Construction industry faces challenges in resourcing the volume of large-scale projects in the City including the significant University capital development programme. This presents a risk which the Property Services teams continue to monitor and manage. The increasing complexity of buildings and building systems requires an ever more skilled workforce to operate and the management of advanced systems through the internet of things is becoming the new norm. Growing statutory compliance requirements will also impact on the prioritisation of buildings within master-planning and next phase of long-term capital development planning.

Prioritisation of resources

The significant capital programme is increasing the size of the University estate and resources must continue to be allocated to increasing facilities management requirements.

Budget strategies to remain within current levels of resourcing

In 2020 we will introduce new KPIs to demonstrate value for money and service standards through the recently outsourced facilities contracts. Year on year we will also drive performance and efficiency through continuous improvement. The capital programme will continue to be monitored through the CEC, standard operating procedures, and financial control mechanisms.

Pro Vice-Chancellor Māori

Overview

The Offices of the PVC's Māori, Pacific and Equity in March 2019, signalled a new working relationship which saw the custodial transfer of targeted Māori and Pacific funding to the PVCM and PVCP offices with a 'Mauri transfer' ceremony which included an ongoing commitment to working together in aligned kaupapa.

Continued engagement within the University and allied entities about the nature of the local, regional and national Māori world.

Supporting the development of the University's development as a custodian and enabler of Te Reo Māori me ōna tikanga.

Evolving the University's response to being a responsible collaborator in research with iwi, hapū, whānau and Māori entities engaged in research.

Expanding the growing hapū and iwi associations into strategically aligned education and research partnerships.

Continuing the progressive research work of the James Henare Māori Research Centre, and using the knowledge and experience of our staff and research groups to influence and advise public policy and sector strategy.

Achieving key objectives

Key objective 1:

TE REO ME ŌNA TIKANGA

Implementation of the Te Reo Māori policy

Significant achievements and major challenges:

- A draft implementation plan has been established with 3 audacious goals guiding its progress. The plan has been approved by SLT.
- USPO is hosting a Project manager engaged to oversee the roll-out of the implementation plan and its deliverables

Strategic initiatives to improve/maintain performance and address challenges:

- Establishment of a Steering committee to ensure agreed tasks are supported fully

- Establish a programme of activity for Te Matanga reo as the expert advisory Māori language committee

KPI that measures the achievement of the objective:

Establish a Steering Committee

Begin projects based on the Te Reo Māori revitalisation plan.

Key objective 2:

WHANAUNGATANGA – MAINTAINING AND DEVELOPING RELATIONSHIPS

Significant achievements and major challenges:

- Continued development of internal and external relations with academic colleagues and institutions that enable the University's strategies and outcomes to be achieved and demonstrate proactive relationships.
- Have started conversations with tangata whenua / mana whenua within our rohe on several kaupapa which may lead to formal agreements. A key challenge is to ensure that the relationships are meaningful and mutually beneficially

Strategic initiatives to improve/maintain performance and address challenges:

- To ensure the University is a key research partner with Māori and strengthens its place in Aotearoa New Zealand as a research hub and advisor.
- Establishing key relationships with tangata whenua. This requires targeted conversations based on the principles of being mutually agreed and beneficial kaupapa. We will have a particular focus on rohe (regions) within reach of the University location(s) but also nurture strategic partnerships/opportunities that may emerge based on the aforementioned principles.

KPI that measures the achievement of the objective:

Achieve initial MOU/MOJO/Agreements within this period.

Key objective 3:

TUKUNGA IHO – To improve Māori outcomes and build capability

Significant achievements and major challenges:

Māori \$000	2018 Actual	2019 Forecast	2020 Budget
Revenue	4	1	-
People costs	212	255	261
Operating Expenses	57	67	61
Depreciation	4	3	12
Occupancy	58	43	55
Total Expenditure	331	368	389
Net Cost	(327)	(367)	(389)

- Ensuring research aligns with identified needs of Māori.
- Providing the opportunity for Māori staff within the University to be able to express their māoritanga
- Māori staff recruitment and retention
- Supporting Māori students via student associations, a targeted programme such as Tuākana, MAPAS, etc, and supporting faculty's in their development to enhance their cultural capability

Strategic initiatives to improve/maintain performance and address challenges:

To ensure research delivers practical and outcomes-focused benefits to Māori, including community capability development.

- Te reo development, kapa haka led by the Rūnanga and its associated kōmiti whakahaere
- The roll out the Te Reo Māori revitalisation plan in the form of staff development tools/programmes/ resources, including a development lens on other offerings with a focus on Te Ao Māori.
- Working with key stakeholders we have started and will continue conversations to develop a coherent and organised approach to retaining and recruiting Māori staff, academic and professional.

KPI that measures the achievement of the objective:

Research policy and guideline development

Stakeholder hui regarding retention and recruitment strategies advanced

Operational risks

In 2019 there will be agreed Strategic objective's working with hapū and iwi, with regard to support and outcomes. Nurturing and establishing the relationships needs to be meaningful, appropriate and enduring.

Developing engagement strategies in response to research proposals need also to be meaningful, mutually beneficial and enduring.

There are no anticipated operational risks.

Prioritisation of resources

For both the Office and the James Henare Māori Research Centre there will be an operational plan developed from the survey and exercise, which will redefine funding values and personnel.

We have engaged with USPO in order to develop a comprehensive plan supporting the implementation of the Te Reo Māori revitalisation policy

We are working closely with the DVC Research to inform policy in relation to Māori engagement (informed by Vision Mātauranga and our Human Participants ethics processes in particular)

Budget strategies to remain within current levels of resourcing

The Office will continue to maintain resourcing within the annual funding allocation.

Pro Vice-Chancellor Pacific

Overview

This year was the first year of the Office of the Pro-Vice-Chancellor Pacific, the first Pro-Vice-Chancellor Pacific at any university. It was a year to consolidate the groundwork and scope of the office and embed core elements in the strategic leadership of the University.

In March 2019 the office of the PVC-Equity handed over formal governance of the TECEF funding to PVCM and PVCP—which led to an expanded phase of transition as new staff and operations were added to the PVCP portfolio.

Achieving key objectives

Key objective 1:

Sustaining and developing our relationships with Pacific students, majority Pacific schools and Pacific communities; Auckland as the university of choice for Auckland’s Pacific students.

Significant achievements and major challenges:

- A decline in our relative share of Pacific students.
- Increased competition from other universities, tertiary education providers and employers.
- Entry qualifications of our University continue to become more difficult.
- Rising interest in programmes of study not offered at our University.
- Continued underperformance of Pacific students in the compulsory sector leaving disproportionately low numbers of Pacific students adequately prepared, qualified or motivated to study at university level.

Strategic initiatives to improve/maintain performance and address challenges:

- The development of the South Auckland facility to engage with South Auckland and Pacific communities.
- The review of our preparatory programmes and our continued commitment to Unibound.
- Reviews of our marketing and schools partnership strategy.

- Our long term sponsorship at Polyfest, and 2018/19 sponsorship of Southside Rise.
- The implementation of the Pacific Academy; the initiation of the South Auckland Maths Challenge.

KPI that measures the achievement of the objective:

- The proportion of UE qualified Pacific students from Auckland schools enrolled at the University of Auckland the following year.

Key objective 2:

Continual improvement of our provision of academic and pastoral support for Pacific students.

Significant achievements and major challenges:

- Markedly lower achievement for Pacific students at the University.
- Many classrooms, assessment processes and teaching contexts do not appear to contribute to or grow Pacific student success.
- Many students are inadequately prepared for university studies.
- Poor distribution of Pacific students across programmes.
- Uneven engagement in academic and pastoral support for Pacific students.
- Uncertain effectiveness of some programmes.
- Promising results from particular initiatives.
- Redevelopment of preparatory and foundation pathways within the University.
- Implementation of a new evaluation process.
- Addition of the new South Auckland campus.

Strategic initiatives to improve/maintain performance and address challenges:

- Our Campus-wide support programmes that are organized under our Tuākana brand.
- Implementation of the Fono Pasifika.
- Implementation of academic and professional staff strategic leadership.
- Implementation of evaluation programme across the TECEF-funded Tuākana.

Pacific \$'000	2018 Actual	2019 Forecast	2020 Budget
Revenue	-	-	-
People costs	-	204	218
Operating Expenses	-	51	135
Lease costs	-	1	-
Depreciation	-	-	1
Total Expenditure	-	256	354
Net Cost	-	(256)	(354)

Key objective 3:

Growing, supporting and advancing an excellent Pacific staff.

Significant achievements and major challenges:

- We have fewer Pacific staff—academic and professional—than we aim for, and did not meet our strategic KPI.
- A very small pool of qualified and appropriate potential Pacific academic staff.
- Pacific academic staff and graduate students are concentrated in only a few faculties.
- Progress to promotion appears to be slower amongst Pacific staff than other staff.
- Faculty based staffing initiatives in Arts, Engineering and Law.
- Recognition by SLT of urgent Pacific staff recruitment and development.

Strategic initiatives to improve/maintain performance and address challenges:

- Pacific staffing plan to be produced in 2020.
- Faculty specific programmes including implementation of the postdoctoral programme in Arts; Associate Dean Pasifika, Science; plans for hiring in Law; postgraduate support in Engineering.
- KPI that measures the achievement of the objective:
- Percentage of Pacific staff in academic positions.

Operational risks

Supplementary funding other than TECEF.

Pacific CoRE bid that could impact the Resources for Pacific research faces stiff competition.

The recent white supremacy controversies have posed Reputational Risks.

Prioritisation of resources

From the five fields of activity: students, staff, research, transforming campus and relationships, most of the resource goes towards the first. 2020 will see the evaluation of our support initiatives, and a focus on developing and recruiting Pacific staff.

A key priority in 2020 will be the opening, support and growth of our South Auckland facility. Though this will come with its own resource, the PVCP and office will be prioritizing any support needed for the leadership and operators of this facility.

Budget strategies to remain within current levels of resourcing

- Workaround opportunities for external funding.
- Exploring opportunities around micro-credentialing and professional development/ Pacific capacity-building centred on the South Auckland campus.

School of Graduate Studies

Overview

The School of Graduate Studies (SGS) is responsible for the development and oversight of strategy, policies and procedures for doctoral programmes, the promotion of graduate study, and advocacy for graduate students. In the next three years, SGS will continue to prioritise: the implementation of an end-to-end online candidature management system; enhancing the wider experience of doctoral candidates, and focus on international collaboration and opportunities.

In 2019, we have taken significant steps to address the essential enablers to offer world-class doctoral programmes in 2020 and beyond. A new PhD Statute will come into effect in 2020.

After an extensive period of review and recommendations, SGS is poised to embrace a new service delivery model in 2020, alongside fit-for-purpose digital systems. This will ensure that doctoral candidates across the University have a world-class experience while studying with us and will be well-prepared for their futures.

Achieving key objectives

Key objective 1:

: End-to-end online candidature management system for doctoral candidates, and implementation of a new service delivery model through the Doctoral Service Delivery Strategic Review.

Significant achievements and major challenges:

This objective is an integral part of the Doctoral Service Delivery Strategic Review (DSDSR). One of the essential enablers identified, an end-to-end online system is now underway with the help of Haplo, an online system PhD Manager is fit for purpose.

In 2019, a new PhD Statute-the Board of Graduate Studies is estimated to go live across the University in mid-2020.

The Doctoral Admissions function moved to Academic Services in mid-2019, will revise and improve doctoral admissions and scholarship-award processes.

Strategic initiatives to improve/maintain performance and address challenges:

The full, revised staffing model for SGS that will enable us to realise the benefits of the online end-to-end candidature system, needs to be implemented to maximise the impact of new systems and others involved in the doctoral journey.

The new Planning Analysis function will allow us qualitative and quantitative reporting, and to benchmark our services.

KPI that measures the achievement of the objective:

The Doctoral Candidate Management system eliminates ongoing frustrations with paper-based reporting systems and also meets University objectives around digitising information.

Key objective 2:

Improved Co-Curricular Experience of Doctoral Candidates

Significant achievements and major challenges:

We need to help the doctoral candidates develop the skills they will need after graduation. One of the essential enablers identified was to provide 'Joined-Up development options'. In 2019 a

new Doctoral Experience Manager role was approved in SGS, critical to our achievement of Key Objective 2.

Funded PhD internships were awarded under the Prime Minister's Scholarships for Latin America for 2018-19.

Strategic initiatives to improve/maintain performance and address challenges:

- Implement Planning Analysis function
- Develop a new Confirmation Experience Survey
- Recruit a Doctoral Experience Manager

KPI that measures the achievement of the objective:

SGS's role as an enabler will be reflected in KPI 1.2 (satisfaction of doctoral students with SGS support) and KPI 1.4 (satisfaction rating of international students SGS support).

School of Graduate Studies	2018	2019	2020
\$000	Actual	Forecast	Budget
Revenue	1	50	11
People costs	1,450	1,571	1,537
Operating Expenses	359	475	530
Lease costs	3	3	-
Depreciation	4	4	12
Occupancy	75	138	111
Total Expenditure	1,891	2,192	2,190
Net Cost	(1,890)	(2,141)	(2,179)

Key objective 3:

Increasing international collaboration in doctoral programmes.

Significant achievements and major challenges:

Over half of our PhD candidates are international students and doctoral programmes can be the catalyst for growing international research collaboration. There are two aspects to this objective: developing Dual and Joint PhD agreements with strategically important institutions, and ensuring doctoral candidates have access to meaningful international opportunities.

SGS is working closely with academic colleagues in faculties and LSRI, and with the International Office. Discussions are underway with partner universities in China, India, Latin America, the UK and Europe.

Strategic initiatives to improve/maintain performance and address challenges:

SGS leadership continues to work closely with Strategic Engagement and faculty/LSRI leadership to identify potential collaboration, and with International Office and faculty/LSRI colleagues to initiate, develop and operationalise these possibilities.

Our new Doctoral Experience team will continue to market these opportunities to our candidates, and show the benefits of taking up these international opportunities.

A significant challenge for successful achievement is funding for these programmes and for individual candidates, especially non-NZ citizens.

Operational risks

The main risks for 2020-2022 are successful implementation of the doctoral candidate management (DCM) system, delays in implementation of the full SGS staffing, and a lack of investment in the further recommendations of the Doctoral Strategic Service Delivery Review.

Prioritisation of resources

The Doctoral Candidate Management System project is now underway and we are confident that the system will meet the needs of all stakeholders.

Investment is required to ensure that the appropriate high-level advisory services and leadership is in place within SGS.

Budget strategies to remain within current levels of resourcing

With the implementation of the doctoral candidate management system, we will be able to significantly reduce the cost of low-level transactions for the administration of doctoral programmes. Improved analysis will support effective decision making and ensure we direct resources towards the most effective initiatives.

Strategic Engagement

Overview

We see strengthening engagement with our local communities and stakeholders as having increased priority.

Issues exercising central and local government challenge the University. These include inclusion and diversity, mental health, student welfare and pastoral care, freedom of expression, awareness of alt right-wing views, immigration, sexual harassment, climate change, among others. In the year ahead, the university sector can expect further scrutiny of its mental health services and will be in consultation with the government on pastoral care provided to domestic students in halls of residence.

All these, and the approach we take to them impact on our relevancy and on our reputation at home and abroad. They require intentional management. Improved issue management across the University will strengthen and enhance external engagement.

Opportunities to strengthen our contribution towards the Sustainable Development Goals, have been taken up. In 2019 the University secured the top ranking in the inaugural THE Impact Ranking.

We will advance our strategic partnerships with Auckland Council, Council Controlled Organisations (ATEED, AT, RFA), the Auckland War Memorial Museum, Auckland Area Health Board, and the Auckland Art Gallery. Financial partnerships with Q Theatre and the Auckland Writers Festival will showcase the University's commitment to its communities.

While we seek to diversify our international market for students, the risk of reduced student numbers from China remains the most serious external threat facing the University.

The NZ-China relationship has now become a political issue between the current Government and the National Opposition. The sensitivities associated with China are highlighted daily and underline the constant risk for the University. We will continue to support and deepen our own relationship with our Chinese partners with the recently launched Aulin College, jointly with the North-East Forestry University in Harbin, and the North Asia Centre for Asia Pacific Excellence (CAPE).

2019 saw the successful conclusion of the For All Our Futures Campaign (FOFC) with the initial target of \$300 million exceeded by \$75 million. In light of the success of the campaign, we will review the way we engage with alumni in order to maintain momentum and lift engagement.

Achieving key objectives

Key objective 1:

International Education:

5.8 % increase in International full Fee EFTS per annum.

International Education has outperformed expectations. Student numbers now total 7,951. Work will progress the development of a strategy including maximising transnational education and postgraduate taught masters strategies to meet 2026 targets. Recent changes to post-study work rights place NZ at an advantage over other major English speaking destinations.

Key objective 2:

International Engagement:

Maintain and strengthen strategic partnerships

The University has committed to a crescendo in partnership visibility through 2021 evidenced by significant participation in all networks (U21, APRU, WUN), and other networks around international education conferences, e.g., hosting the Global Internship Conference July 2019, hosting U21 senior leaders meeting October 2019, sponsoring rankings summits in London (2019), NYC (2020), India (2018-20), and planning for APAIE 2021, the largest international education conference ever held in New Zealand. Strategic partnership focus is advancing, hosting a 2-day workshop with Penn State in November 2019 and planning for an all UNZ delegation to further an NZ Studies Centre at IIT Delhi in February 2020.

Key objective 3:

Development and alumni engagement:

Post-Campaign stewardship/thanking; quiet sourcing of philanthropic income; lifting the number of highly engaged alumni, and providing a platform for the new VC to build donor and alumni relationships.

\$45 million /year new funds secured (2020) \$50 million /year new funds secured (2021-2022). Double the number of highly engaged alumni (level 1,2 and 3) to 12,000; achieve at least base level (level 4) engagement with over 46% of our entire alumni base of 200,000 alumni.

Strategic Engagement	2018	2019	2020
\$'000	Actual	Forecast	Budget
Revenue	8,054	7,648	8,708
People costs	-	-	-
Operating Expenses	11,866	13,366	13,769
Lease costs	8,002	8,464	8,478
Depreciation	33	44	66
Occupancy	445	854	911
Total Expenditure	20,346	22,728	23,224
Net Cost	(12,292)	(15,080)	(14,516)

ARD will move into a 'quiet' phase which will ensure the goodwill of existing donors is retained and momentum built up by engaging alumni to secure a base for the next campaign. This phase over the next three-four years will involve reporting on the FAOF impact. It will be two years before we fully de-brand FAOF.

Key objective 4:

Domestic Engagement:

Maintain and strengthen strong partnerships, in part by strengthening internal connectedness.

Maintain relationships with key government agencies, development of a University-City partnership project on SDGs, a satisfactory mid-term review of CAPEs and deeper partner engagement with selected anchor Auckland organisations. The portfolio aims to work more closely across faculties and service divisions and build stronger connections, which deliver for our communities. We will work with the Pro-VC Māori and the Pro-VC Pacific to support their strategies

Gender Equity

Key Objective 5:

Gender Equity:

Demonstrate a commitment to gender equity within the portfolio and external facing activities.

Achieve a gender balance with University presenters at significant SE events in 2020 and work towards a gender balance in advisory committees by 2021. Maintain a gender balance in senior leadership positions within the portfolio.

Vice-Chancellor’s Office

Overview

The Vice-Chancellor’s Office includes the Vice-Chancellor and those parts of the Deputy Vice-Chancellor (Academic), Deputy Vice-Chancellor (Research), Deputy Vice-Chancellor (Strategic Engagement), Deputy Vice-Chancellor (Operations) & Registrar, Director of HR and Director of Planning activities that operate at a corporate level. The Office is thus responsible for: engagement with the University Council and external parties; engagement with international government agencies, networks, and universities; development of University strategy; managerial leadership of the University; approval of Faculty and Service Division plans and resource allocation; monitoring performance against strategy; the University’s risk and legal compliance frameworks; leadership of the University’s Health, Safety and Wellbeing framework, the maintenance of a policy environment that supports delivery of strategy and efficient use of resources at acceptable levels of risk; and the servicing of key University committees.

The key factors relevant to this Office are those which impinge on the University’s reputation and its ability to generate the resources it requires, to achieve the University’s mission and its strategic targets. The key risks continue to relate to achievement of the Strategic Plan objectives of rankings; attracting, developing and retaining very accomplished staff; attracting top students to meet targets; meeting student and staff equity targets; enhancing our revenue base, and advancing the capital development programme. These are being addressed through regular monitoring of performance and strategic investment. t

Achieving key objectives

Key objective 1:

Support introduction of new Vice-Chancellor and development of the next University strategic plan

The University’s next Vice-Chancellor will commence her appointment in March 2020. The VCO will support her introduction to and relationship building with University partners, stakeholders, staff and students and will also support her to develop a detailed understanding of the University and to lead the development of the next Strategic Plan.

Key Objective 2:

Continue to strive for a sustainable resource base for the University and strategic resource allocation.

Opportunities and risks:

International student fee revenue has become integral to the University’s financial performance. Opportunities for growth exist, although risks are also emerging such as the uneven distribution of international student enrolments across the University as well as the increasing proportion of students from China. The number of funded domestic students is currently at historically low levels and competition amongst providers has intensified accordingly. Government policy continues to constrain tuition fees and tuition subsidy increases are below CPI. At the same time expenditure increases are outpacing CPI. The pool of competitive research funds has fallen in real terms. The University’s asset-related costs have increased materially as the campus development programme has progressed and as a consequence of increasing asset valuations in Auckland. The University must address both revenue opportunities and cost structures. Prioritisation of change initiatives is a critical planning capability.

Strategic initiatives:

VC to set strategic revenue targets for Faculties and LSRI on the advice of the DVCs, CFO and UniServices. International student recruitment, with additional support for new markets, articulation arrangements and new market-oriented programmes. Continue to refine University administration and reduce administration costs through active process improvement and automation, and function reviews. Continue to grow philanthropic revenues. Propose to Council a plan for the relocation of the Faculty of Education and Social Work to the City Campus and for the future of the Epsom Campus. Establish revised debt limit for the University.

Key objective 3:

Strengthen University leadership capability

Opportunities and Risks:

Leverage staff engagement, collaboration and shared vision through excellent internal communications, leadership professional development programmes

Vice-Chancellor’s Office \$’000	2018 Actual	2019 Forecast	2020 Budget
Revenue	2,214	2,560	2,120
People costs	9,029	10,762	10,982
Operating expenses	2,923	3,249	3,164
Lease costs	8	12	-
Depreciation	29	41	67
Occupancy	802	1,623	1,075
Total Expenditure	12,790	15,687	15,287
Net Cost	(10,576)	(13,128)	(13,167)

and forums, the support of Visual Management Boards and access to relevant performance information provided through the BI activity.

Strategic initiatives:

The Academic Leadership Framework and the Improving Research Support programmes of work will deliver enhanced governance frameworks. HR will continue to progress the leadership and management skills development programme. Academic Heads will be supported to lead subject Rankings strategies.

Key objective 4:

Realise the benefits of the newly established research support model (IRIS).

Opportunities and Risks:

The new research support model is now in place. Further work is underway to strengthen research support systems, establish a clinical research service delivery model and risk framework and transition to a new research support governance model.

Strategic initiatives:

Embed the new service delivery model for technical staff and clinical research. Invest in a new research management system, CRM, clinical research and data management systems. Influence the development of the National Research Information System to minimise compliance cost and maximise benefits.

Key objective 5:

Improve the quality of students’ learning and extra-curricular experiences and the retention of students to graduation.

Opportunities and Risks:

The University has agreed performance commitments to student participation and achievement, including commitments to Māori and Pacific participation and achievement. Future funding will be at risk if commitments are not met.

Key objective 6:

Support gender equity initiatives across the University

Strategic Initiatives:

Contribute to the development of a methodology to allow a pay equity audit to be undertaken.

Operational risks

The main risk is in the allocation of time; we have ambitious plans to strongly position the University as New Zealand’s public university of global standing that is recognised as contributing to enhanced economic, social, cultural and environmental outcomes.

Service Division KPIs

Academic Services	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
% of applications converted to enrolments	38.2%	36.3%	45.0%	45.0%	45.0%	TBC
Time taken for admission decision (days)*	14.9	16.9	14.3	8	8	TBC
% of total application programme decisions made in Applications and Admissions	49%	53%	63%	70%	75%	TBC
% student enquiries - resolution at first contact	59%	67%	80%	80%	TBC	TBC
# of concession requests (enrolment completion)	25,434	25,999	15,000	12,000	TBC	TBC
Reduced volume of inbound inquires	315,242	314,176	290,000	280,000	TBC	TBC
Student Enquiry Satisfaction Survey	n/a	n/a	80%	90%	90%	TBC

* Time taken for admission decision (days) is somewhat inflated from 2018 onwards due to not being able to accurately capture the time taken for Fast Track offers (early offers to school leaver applicants)

Campus Life	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
# of beds available	2,992	3,320	3,600	4,380	4,050-4,500	4,050-4,500
% overall satisfied with Accommodation (residents)	84%	86%	86%	86%	86%	86%
Average wait time for counselling appointment (routine)	< 5 days	< 5 days	< 5 days	< 5 days	< 5 days	< 5 days
Average wait time for GP visit (in semester)	< 2 days	same day	same day	same day	same day	same day
% overall satisfaction with Health and Counselling Service	86%	90%	90%	90%	90%	75%
# of students new to the University engaging in orientation activities	8,000	8,500	9,000	10,000	10,000	10,000
# of informal rec facilities available	9	20	20	20	20	20
% overall satisfaction with Recreation Centre	90%	90%	90%	80%	80%	80%
Annual number of transactions at campus retail stores*	384,684	450,000	540,000	600,000	600,000	600,000
Overall satisfaction with campus retail	n/a	75%	80%	85%	85%	85%

*Reflects the # of students who are choosing to eat on campus. Figures and targets are based on data capturing methods improving and new retail offerings

Communications & Marketing	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
Proportion of school leavers entering with a GPE greater than or equal to 5	58%	64%	58%	>58%	>58%	>58%
Rating of website effectiveness	n/a	66	66	>68	>68	>68
Staff engagement score (C&M)	83%	83%	83%	83%	85%	85%
# of postgraduate students who transfer from another NZ university (commencements)	543	615	563	570	>575	>575
Volume comparative to other key NZ universities (share of voice) p.a.	29%	26.0%	28.0%	>28%	>28%	>28%

8.2

COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Digital Services	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
IT Service Quality benchmarking survey (Voice Survey - staff only)	71%	75%	75%	79%	81%	82%
Service performance (1-10)	n/a	7.2	7.2	7.5	7.6	7.7
Make fit-for-purpose investments aligned with sector needs: Annually, users indicate that NeSI services meet their needs, measured by user satisfaction.	n/a	n/a	>80%	>80%	>80%	>80%
University student satisfaction survey	77.0%	77.0%	87.0%	>80%	>80%	>80%
IT Transformation (progress)	n/a	10.0%	40.0%	70.0%	100.0%	100.0%
Portfolio maturity (1 - 5)	n/a	2.0	2.5	3.0	3.5	3.5
% women in top three layer of IT leadership	n/a	23%	26%	28%	30%	32%
% women in the IT Function	n/a	24%	26%	28%	30%	32%
Staff Satisfaction - Engagement survey score	82	82	78	78	85	85
# new postgraduate programmes are selected, developed and launched in market (Auckland Online)	n/a	n/a	2	2	2	TBC
Student progression rate (Auckland Online)	n/a	n/a	n/a	75.0%	75.0%	75.0%
Equity	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
Increase the use of equity webpages by 20% by 2021	n/a	n/a	n/a	Increase 10% to 56,029	Increase 10% to 61,631	TBC
Increase the rate of self-disclosure for staff with disabilities as reported by EPR	n/a	Baseline 143	Increase by 3% to 147	Increase by 4% to 152	Increase by 10% to 167	TBC
Increase the number of Pacific students registered with Student Disability Services	n/a	n/a	n/a	Increase by 10% on 2019	Increase by 10% on 2020	TBC
Increase number of participants in Family Violence training	n/a	n/a	n/a	Increase of 20% on 2019	Increase of 30% on 2019	TBC
All Equity Office Staff will have participated in Te Reo/Tikanga training by 2021	n/a	n/a	n/a	75% staff trained	100% staff trained	TBC

Finance	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
University Crisis Management Team's current capability to manage a Level 3 crisis (on a 1-7 scale)	5.3	5.9	5.7	6.0	6.3	6.5
Operating surplus as a % of revenue	3.3%	4.9%	3.3%	2.5%	3.0%	4.5%
Risk rating per TEC reporting framework	Low	Low	Low	Mod	Low	Low
Savings from procurement	\$6.8m	\$10.7m	\$8m	\$6m	\$6m	\$6m
Capability maturity measure of Risk Management Framework	3.8	3.9	4.0	4.2	4.4	4.5
Capability maturity measure of Finance Service Commitments*	3.5	3.5	3.6	4.0	4.2	4.2
Cost per transaction - P2P	\$5.59	\$5.30	\$4.40	<\$4.30	<\$4.00	<\$3.80
Internal customer satisfaction for STC	83%	87%	90%	90%	90%	90%
Internal customer satisfaction for ROC	n/a	81%	85%	88%	90%	90%
*Note that prior to FFR this was titled Performance Framework						
Libraries and Learning Services	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
Learning & Teaching Survey - satisfaction with Library resources and facilities	n/a	88%	>85%	TBC	TBC	TBC
% LLS employee engagement score in the University staff survey	n/a	70%	75%	TBC	TBC	TBC

8.2

COUNCIL PART A OPEN AGENDA 09.12.19 - 08. REPORTS OF COUNCIL COMMITTEES

Organisational Performance and Improvement	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
% of benefits meeting approved benefit realisation targets	90%	90%	90%	90%	90%	TBC
Capability Maturity Measure of Strategic Portfolio Framework	3.8	4.0	4.0	4.0	4.0	TBC
Capability Maturity Measure of Business Process Management (out of 5)	3.8	4.0	4.0	4.0	4.0	TBC
Customer satisfaction - SSC Overall Service Rating	80% happy 10.7% neutral 9.3% unhappy	92.7% happy 4.6% neutral 2.7% unhappy	92.8% happy 3.3% neutral 3.9% unhappy	95% happy 3.0% neutral 2.0% unhappy	95% happy 3.0% neutral 2.0% unhappy	TBC
Level of Self Service/ Knowledgebase utilisation (Article views)	202,074	278,128	257,364	280,000	290,000	TBC

Property Services	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
Timely completion of strategic projects within budget	67%	75%	100%	100%	100%	TBC
Post Occupancy Review*	n/a	n/a	n/a	100%	25%	TBC
Key outsourced FMSP's meet contractual KPIs	n/a	n/a	n/a	90%	92.5%	TBC
Cleaning QA Audits pass inspection	n/a	n/a	n/a	90%	92.5%	TBC
Reduce energy consumption in buildings (kWh/m ² GFA)	155.0	159.6	156.9	156.1	155.3	TBC
Reduce water consumption in buildings (cu.m/m ² GFA)	0.70	0.72	0.68	0.68	0.67	TBC
Reduce waste to landfill (cu.m/EFTS)	0.55	0.64	0.50	0.49	0.47	TBC
Scope 2 Carbon Emissions - Building Energy (t-eCO ₂ / GFA)	0.025	0.026	0.025	0.024	0.023	TBC
% Property Services Design and Operating Standards incorporate sustainability standards	n/a	n/a	n/a	90%	100%	TBC
% Property Services contracts include sustainability related non price attributes within submission assessment	n/a	n/a	n/a	50%	75%	TBC

* Development & introduction of Post Occupancy Review (POR) program by end of 2020 (100% target). PORs undertaken on key projects within 12 months of Occupancy 2021 objective 2.5% for 2021 escalating to 100% for 2022.

School of Graduate Studies	2017 Actual	2018 Actual	2019 Actual/Forecast	2020 Target	2021 Target	2022 Target
Satisfaction rating of supervisors re SGS support - % of >= 'agree' feedback from workshop survey	91%	90%	90%	90%	90%	TBC
Satisfaction rating of doctoral students re SGS support	85%	85%	90%	90%	90%	TBC
Satisfaction rating of international students re SGS support	90%	90%	Top third-half ISB	Top third-half ISB	Top third-half ISB	TBC

Strategic Engagement	2016 Actual	2017 Actual	2018 Forecast	2019 Target	2020 Target	2021 Target
# of international EFTS (full fee)	4,451	4,973	5,426	5862*	6129*	TBC
# of international EFTS PG	1,105	1,458	1,603	1,611*	1,694*	TBC
% International student satisfaction	87%	87%	88%	88%	89%	TBC
% UG students with international experience	17%	24%	23%	25%	25%	TBC
% engaged alumni (annual)	39.1%	41.3%	44%	46%	48%	TBC
% of engaged alumni (Campaign cumulative)**	55.2%	58.7%	63%	TBA	TBA	TBC
Total funds raised	\$64.5m	\$65.1m	\$70m	\$45m	\$50M	TBC

* These are the current projected figures from SMR. These will be reviewed following discussion with four faculties regarding increased international EFTS targets for subsequent years.

** This KPI will be discontinued after end 2019 as it relates to the concluded Campaign For All Our Futures

Glossary

ABI	Auckland Bioengineering Institute	NeSI	National e-Science Infrastructure
APRU	Association of Pacific Rim Universities	NICAI	National Institute of Creative Arts and Industries
AUPISA	Auckland University Pacific Island Students' Association	OPI	Organisational Performance and Improvement
B&E	Business and Economics	PBRF	Performance-Based Research Fund
CDES	Career Development and Employment Services	PGSA	Postgraduate Students' Association
CLear	Centre for Learning and Research in Higher Education	POD	People and Organisational Development
CoRA	Centre of Research Accounting	PreSS	Postgraduate Research Student Support
CoREs	Centre of Research Excellence	PRG	Pacific Reference Group
CRI	Crown Research Institute	ROC	Research Operations Centre
DELNA	Diagnostic English Language Needs Assessment	QS	Quacquarelli Symonds
DVCA	Deputy Vice-Chancellor (Academic)	SAC	Student Achievement Component
EFR	Externally-Funded Research	TEC	Tertiary Education Commission
EFTS	Equivalent Full Time Students	UTAS	Undergraduate Targeted Admission Scheme
ERI	External Research Income	VCSDF	Vice-Chancellor's Strategic Development Fund
FTE	Full Time Equivalent (staff)		
Go8	Group of Eight universities in Australia		
HR	Human Resources		
HRC	Health Research Council		
ICT	Information and Communications Technology		
IRIS	Improving Research Support		
ITS	Information Technology Services		
KPI	Key Performance Indicator		
LGBTI	Lesbian, Gay, Bisexual, Transgender and Intersex		
L&LS	Libraries and Learning Services		
LSRI	Large Scale Research Institute		
LTACP	Long Term Academic and Capital Plan		
MANU-AO	Māori Academic Network across Universities in Aotearoa		
MBChB	Bachelor of Medicine and Bachelor of Surgery		
MBIE	Ministry of Business, Innovation and Employment		
MIRE	Major Items of Research Equipment		



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Memorandum

Date: 29 November 2019
 To: Council
 From: Trudie McNaughton, Pro Vice-Chancellor Equity
 Subject: **A safe, inclusive and equitable university
 Equity Leadership Committee end of year report to Council**

Safe

Harassment Governance Group

The Chair updated Equity Leadership Committee members on the Harassment Governance Group including the report received by members. There will be two reports to ELC annually from 2020.

Addressing Bullying, Harassment and Discrimination (BHD) awareness and training

Considerable engagement including from equity networks, staff and students, has contributed to the comprehensive foundation training linked to the Addressing Bullying, Harassment and Discrimination Policy. Mr Phipps reported that this includes an online module for all staff, through Career Tools and for students through Canvas. There will be 42 workshops run for staff (people managers and front-line staff) prior to Christmas with more workshops run in the New Year. Priority training for students will focus on approximately 200 student leaders with the online modules being delivered as part of orientation in February 2020.

The goals of the training are to:

- build shared understanding of BHD;
- increase student and staff confidence in understanding unacceptable behaviours, and where to report these; and
- increase people's capability to be able to receive disclosures and know the appropriate next steps.

Family Violence Project

The Family Violence Policy was reviewed with key recommendations including; a new title of "Family and Relationship Violence and Abuse Policy", to increase understanding, particularly amongst students, and to improve alignment with the Addressing Bullying, Harassment and Discrimination Policy. Members endorsed the changes.

Increasing numbers of staff and students are attending Family Violence training led by the Equity Office. The Chair advised members that the Equity Office 2020 annual plan prioritises enhancing the range of those attending the training, (including by seniority, gender, roles).

Inclusive

Equity, Māori and Pacific

The Chair highlighted the continuing work by the Pro Vice-Chancellors Māori, Pacific and Equity partnership including with the Māori and Pacific prospectuses. Assoc Professor Salesa noted the relevance of both e-versions and hard copies for students, their families and communities.

Student Voice

The Chair noted the University's submission on Student Voice in Tertiary Education and the ways the Equity Office works in partnership with diverse student groups on policy, projects and service provision. Equity structures such as the Equity Community of Interest and the Equity Leadership Committee include active student membership.

Unconscious Bias Training

Demand for unconscious bias training for staff has increased over the year with positive evaluations from attendees.

University of Auckland Disability Programme 2017-2020

The Disability Programme is progressing across its three main work programmes:

- Culture, (work and study environment)
- Physical environment - including collaboration with Property Services regarding the development of criteria to support a limited accessibility audit of University properties
- Communications and digital accessibility - including enhancement of the Student Disability Services webpages, student-facing communications channels and collaboration to support an accessibility audit of Canvas.

The Disability Programme concludes at the end of 2020 and this work will transition into a University of Auckland Disability Action Plan, noting many comparator universities already have action plans in place. The Government's recently launched Disability Action Plan will be a reference point for this work <https://www.odi.govt.nz/disability-action-plan>.

The Chair noted there is still a need for progress on the physical environment work, and that a decision is pending on re-location of the Todd Centre. Whilst this work is complex there has been good progress overall.

Students with disabilities

In August 2019, the Pro Vice-Chancellor (Equity) signed a Memorandum of Understanding on behalf of the University of Auckland with Workbridge, a specialist employment service focused on supporting people with all types of disability, injury or illness. This new relationship increases opportunities for meaningful employment for students and alumni with disabilities. It complements the role of the Student Disability Services' Careers and Employment Adviser in the Equity Office, and the support provided by Career Development and Employability Services.

The Chair noted the [student disability profiles](#) on the Equity website and encouraged members to share these success stories with their networks.

The Chair noted the Equity Office is developing a business case with the International Office for enhanced support for international students with disabilities.

Staff with Disabilities

Work to increase disclosure from staff with disabilities has been included in the Equity Office 2020 Annual Plan. Current rates of disclosure are low - 299 for the first six months of 2019 (143 excluding fixed term and casual staff). The Chair noted disabilities may be intermittent or temporary which influences disclosure rates.

Managers and HR advisers are encouraged to support disclosure so staff can benefit from appropriate support. Members agreed it would be useful to include a discussion on staff with disabilities and disclosure at a 2020 Professional Staff Managers Forum.

Students from Refugee Backgrounds (SRB)

The Equity Office provides ongoing support to students from refugee backgrounds and to the SRB club. Recent activities include an art exhibition; fundraising with proceeds going to the Red Cross; and food supplied by the Tamil community for a meet and greet to accompany speeches and performances hosted by the SRB club.

LGBTQITakatāpui+

Dr O'Neill, Director Student Equity, was invited to the recent launch of *Counting Ourselves: The health and wellbeing of trans and non-binary people in Aotearoa New Zealand*. The Equity Office, in collaboration with Student Health and Counselling, is developing communications in response to *Counting Ourselves* and a range of associated initiatives to support trans and gender diverse people's health and wellbeing at the University. Dr O'Neill co-chairs the Rainbow staff and student network with Victoria Hawthorne, the Queer Rights Officer at AUSA.

Students from low socio-economic backgrounds (LSEB)

Government plans to change the decile rankings for schools were discussed with associated impacts on identification of students from low socio economic backgrounds, including for scholarships and alternative pathways to study such as the [Undergraduate Targeted Admission Schemes](#) (UTAS).

Parental Leave for doctoral candidates

Questions were previously raised at ECOI regarding parental leave support for doctoral students. Assoc Professor Caroline Daley, Dean of Graduate Studies, has advised that the Board of Graduate Studies have considered the status of doctoral candidates who are or who are soon to become parents and care givers. International benchmarking has been completed. Opportunities for these candidates, and advice, including in relation to NZ tax law has been sought. Assoc Professor Daley has been invited to the April ELC 2020 meeting to discuss the issue further with members.

Merit Relative to Opportunity Policy and Guidelines Review

ELC members were thanked for providing feedback to the Equity Office. Changes to the policy included changing the title to Achievement Relative to Opportunity. More clarity was given around its purpose and examples provided to avoid misuse of the concept. Members endorsed the changes.

Research and Study Leave Policy Review

The PVC Equity made a submission to the review of the Research and Study Leave Policy, Procedures and Guidelines, endorsing the new flexibility which can be particularly supportive to early career staff, and those with family and carer responsibilities.

Recruitment Policy Review

The PVC Equity also made a submission to the Review of the Recruitment Policy, Procedures and Guidelines, endorsing its commitment to equity. She reiterated this support at Staff Advisory Committee and recommended the inclusion of equity and unconscious bias training.

Equitable

United Nations Sustainable Development Goals (SDG) engagement

The Chair updated members on the steering group chaired by Mrs Cleland for the Times Higher Education Impact Ranking Submission and acknowledged the work of Dr Jingwen Mu in the Planning Office. She noted the Equity Office 2020 Annual Plan objectives are linked to relevant SDGs.

Draft gender equity strategic interventions framework

Members discussed the draft gender equity framework. Ms Toft, Director Staff Equity, discussed next steps to receive feedback noting some of this work is aspirational, and in some areas, work is already being put into practice including through the Addressing Bullying, Harassment and Discrimination training.

Mr Phipps noted significant progress across the University with HR data on staff applications, the pay equity audit and work on the Addressing Bullying, Harassment and Discrimination training. He invited Ms Toft to meet with the HR leadership team to discuss this initiative. Members suggested next steps could include investigation of self-audits, along the lines of the recent HSW audit to raise awareness.

Special Working Group

The Chair drew attention to the recent all staff email from the Vice-Chancellor updating staff on progress of the [Special Working Group](#).

The Chair noted the importance of on-going work balancing free speech, academic freedom, human rights and health, safety and wellbeing. Many staff and students continue to be active in ensuring these rights and responsibilities are appropriately balanced.

**THE UNIVERSITY OF AUCKLAND
MATERIAL FOR COUNCIL FROM
THE MEETING OF SENATE 25.11.19**

PART A:**i) RECOMMENDATIONS FROM SENATE REQUIRING TO BE CONSIDERED/RECEIVED BY COUNCIL****REVIEWS****1. Review of School of Biological Sciences: Further Progress Report**

Senate 25.11.19 recommends to Council that it receive the Further Progress Report as a final response to the 2016 Review of the School of Biological Sciences

2. Review of School of Psychology: Further Progress Report

Senate 25.11.19 recommends to Council that it receive: the Further Progress Report as a final response to the 2015 Review of the School of Psychology.

3. Review of Classics and Ancient History: Year-on Progress Report

Senate 25.11.19 recommends to Council that it receive: Year-on Progress Report as a final response to the 2017 Review of Classics and Ancient History.

ii) RECOMMENDATIONS FROM SENATE REQUIRING COUNCIL CONSIDERATION/APPROVAL**Note:**

- a) *The Draft **Code of Conduct** was submitted to the Senate meeting of 25.11.19 for consideration and advice on any academic implications of the plan.*

While a number of members commended the Code and welcomed it as a valuable tool to avoid potential conflict, several had some reservations. These encompassed areas such as:

- What action could or could not be taken against staff or students who breached the code*
- How the need to create a "safe" environment would be balanced against the statutory provisions of academic freedom which include the right to controversial opinions*
- What the "appropriate interventions" might be in different circumstances*
- A view that Senate could comment on the Code only if it also saw the guidance document on p.2*

The Code of Conduct will be submitted to Council as an independent item under 'Other Matters for Decision or Noting'.

- b) *At a previous meeting, Senate had questioned whether the current **Honorary degrees** at the University adequately reflected its range of disciplines or Faculties. Senate, 25.11.19 considered the Honorary Doctorates at peer Universities and offered no views on possible changes to the current suite of University of Auckland Honorary Doctorates.*

ACADEMIC MATTERS AND REGULATIONS

4. REGULATION AMENDMENTS

Senate, 25.11.19 RECOMMENDS that Council approve the following Regulation Amendments:

- a) **Regulation Amendment 2019/901:** Academic Statutes and Regulations – Admission Regulations
To amend regulations 3b and 3c of the Admission Regulations in the 2020 online Calendar.
- b) **Regulation Amendment 2019/900:** change to the international closing date of the MBA

5. Policy Committee on Contract Education and training – proposal

The Policy Committee on Contract Education and Training had been in place since 2004.

Although this Committee played a useful role in the beginning, in recent years it has not had substantial decisions to make anymore and often only met electronically. Arrangements are proposed to deal with the ongoing business specified in the terms of reference. It was therefore recommended that this Committee be disestablished and substantial business, when it occurred, would be dealt with as per the proposal.

Senate, 25.11.19 RECOMMENDS that Council approve the disestablishment of the Policy Committee on Contract Education effective from 31 December 2019 and that:

- a) **In order to address the business for which the Committee is responsible, any matters that fall under ToR 1 are sent to Education Committee for consideration and that delivery review reports go directly to that Committee;**
- b) **Any new programmes arising from contact arrangements will continue to be considered by Academic Programmes Committee.**
- c) **The working groups referred to in ToR 3 will be set up on an ad hoc basis following discussion between UniServices, the DVC(A), Auckland International, the Director of Planning and, where research qualifications are involved, the Dean of Graduate Studies; and**
- d) **Council is asked to delegate the approval of new education and training contracts to the DVC(A). The DVC(A) will also brief the Vice Chancellor on significant risks arising from the University's contract education activity.**

6. Statute for the Degree of Doctor of Philosophy (PhD)

Senate, 25.11.19 RECOMMENDS that Council approve the Statute for the Degree of Doctor of Philosophy (PhD)

7. Memorandum, 15.11.19 from the Vice-Chancellor - Proposal to remove the position of Head of Tamaki Campus from the Senate Membership

Senate, 25.11.19 RECOMMENDS that Council approve the removal of the Head of the Tamaki Campus, as an *ex officio* member from the Senate membership, with effect from 01.01.2020

PART B: ITEMS FROM SENATE FOR NOTING BY COUNCIL

1. Reports on Leave

Senate 25.11.19 RECOMMENDS that Council **note** the following research and study leave reports:

Name	School/Department
Dr Lily Chen	Accounting and Finance
Dr Alexandra Monteith	Elam School of Fine Arts
Dr Xinwei Wang	Information Systems
Dr Ruth Watson	Elam School of Fine Arts

9.1

PART C: MATTERS RECEIVED AND APPROVED UNDER DELEGATED AUTHORITY

1. ACADEMIC MATTERS

a) New PhD in Software Engineering

Senate, 25.11.19 advises Council that the following academic matter was approved: New PhD in Software Engineering

2. NEW SCHOLARSHIP & AWARD REGULATIONS

Senate, 25.11.19 advises Council that the following 22 new Scholarship, Award and Prize Regulations were approved:

1. Alison Hanham Undergraduate Scholarship in Arts
2. Amber McWilliams Memorial Scholarship in English and Drama
3. Auckland Council Biosecurity Scholarship
4. Bachelor of Design Award for Māori Students
5. Bachelor of Design Award for Pacific Students
6. Bachelor of Design Bring Your Own Device Award
7. Bachelor of Design Game-Changer Scholarship
8. Chew Liong Kim & Tan Chee Chin Scholarship
9. David and Dian Ross Undergraduate Scholarship
10. Hauser-Raspe Undergraduate Scholarship

11. Jasmax Scholarship for Māori and Pacific Students
12. Jim Dart Urban Planning Prize
13. Kotahitanga Korikori Dance Movement Therapy for Empowerment Scholarship
14. Mokaraka Māori Women in Business Scholarship
15. Robin Oliver Tax Policy Scholarship
16. Siphala Foundation Prize in Foundation Chemistry
17. Stantec New Zealand Planning and Sustainability Prize
18. Te Ākonga Matua (Head of School) Distinguished MAPAS Student Prize
19. Te Herenga Mātai Pūkaha Doctoral Scholarship in Engineering
20. Heather Leaity Memorial Award
21. Jonathan and Mary Mason Summer Scholarship in Auckland History
22. Michael Redshaw Historical Instrument Performance Scholarship

Memorandum to: Council
 From: Vice Chancellor
 Date: 27 November 2019
 Subject: Code of Conduct

A Code of Conduct has been under development for over a year. A draft Code has recently been consulted on. The Code of Conduct Review Committee has considered the feedback from the Code of Conduct consultation and further comments from the *Special Working Group on the Prevention of and Response to Discrimination at the University of Auckland*.

The Review Committee has now completed its work and its final version of the Code is attached.

Prior to its submission to Council, the Code went to Senate for consultation and the members were invited to comment on its academic consequences. While a number of members commended the Code and welcomed it as a valuable tool to avoid potential conflict, several had some reservations. These encompassed areas such as:

- What action could or could not be taken against staff or students who breached the code
- How the need to create a “safe” environment would be balanced against the statutory provisions of academic freedom which include the right to controversial opinions
- What the “appropriate interventions” might be in different circumstances
- A view that Senate could comment on the Code only if it also saw the guidance document on p.2

Because of the difficulty of securing a common view in the time available for the discussion, I advised Senate that I would be recommending to Council that it adopt the Code of Conduct in its present form so that the Code would be available for the start of the 2020 academic year, but that it would be returned with the Guidance Document to Senate in early 2020 for further consideration and advice to Council. Members of Senate were happy with this approach.

I therefore recommend that Council approve the Code of Conduct

Stuart McCutcheon

Vice Chancellor

Our Code of Conduct

The purpose of this Code is to develop and maintain a standard of behaviour that supports and enables the University's commitment to being a safe, inclusive, equitable and respectful community.

This Code sets out the University's expectations of the standards of behaviour of all members of the **University community**.

The University acknowledges Te Tiriti o Waitangi as New Zealand's founding document.

As members of the University of Auckland community, we all agree to behave in ways that make our University community safe, inclusive and equitable for all. For us, this means that:

- **We act with manaakitanga:** this means we show respect, care and support for others and we act with kindness and hospitality. In achieving this, we do not:
 - Bully, harass or discriminate against others;
 - Engage in purposefully offensive or personal attacks, whether physical or non-physical, on others or their property;
 - Behave aggressively, violently or in ways that make others feel unsafe or unwelcome;
 - Abuse the power we have over others by virtue of the position or status we hold in our **University community**.
- **We foster whanaungatanga:** this means we commit to making our **University community** a place in which all feel they belong. As part of this we:
 - Acknowledge that our rights to freedom of expression come with shared responsibilities to respect and acknowledge the rights of others;
 - Respect the principles of **natural justice**;
 - Promote positive, supportive and **collegial relationships**
 - Comply with the rules, policies and procedures of the University.
- **We build kotahitanga:** this means we recognise that our community of teaching, learning and research is a partnership between our students and our staff. As part of this we are transparent and welcoming of critical debate especially when we exercise positions of responsibility within our community and we welcome the good faith contributions of others in guiding decision-making.
- **We uphold kaitiakitanga:** this means we recognise our responsibilities as kaitiaki (guardians) to protect and respect our **environment**, traditions, knowledge, culture, languages and other taonga. As part of this we:
 - Promote and defend **academic freedom**
 - Act to achieve the goals of **sustainability**
 - Are the kaitiaki of this code – we protect and respect this Code.

Behaviour that contravenes this Code will be addressed through appropriate interventions, whether or not that **conduct** breaches the threshold for formal disciplinary action under University **rules**, policies, procedures and regulations.

Related Documentation

The Code of Conduct is intended to be used in conjunction with the **guidance document** and the University of Auckland’s statutes, policies, procedures, rules, regulations and associated documents. These include, but are not limited to:

<p>Student Charter</p> <p>Policies & Procedures Access to University Facilities Policy Access to Personal Information Policy and Procedures Addressing Bullying and Harassment and Discrimination Policy and Procedures Authorship Guidelines Conflict of Interest Policy Equity Policy and Procedures Health, Safety & Wellbeing Policy Intellectual Property Created by Staff & Students Policy</p>	<p>IT Acceptable Use Policy Privacy Policy</p> <p>Statutes, Regulations & Rules Resolution of Student Academic Disputes Statute Student Academic Conduct Statute Statute for Student Discipline University of Auckland Campus Rules</p> <p>Conflict Resolution Resolution of Employment Relations Problems Procedures Staff Complaint Process Flowchart</p>	<p>Student Complaint Process Flowchart</p> <p>New Zealand Legislation Employment Relations Act 2000 Education Act 1989 Harmful Digital Communications Act 2015 Harassment Act 1997 Health and Safety at Work Act 2015 Human Rights Act 1993 New Zealand Bill of Rights Act 1990 Privacy Act University of Auckland Act 1961</p>
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Definitions

Academic Freedom: the freedom of academic staff and students, within the law, to question and test received wisdom, to put forward new ideas and to state controversial or unpopular opinions.

Collegial relationships: cooperation and recognition of interdependence among members creating a supportive and healthy work and study environment.

Conduct: a person’s behaviour in a place or situation (including online), including both verbal and physical behaviour.

Environment: refers to physical environments, social and cultural environments, and virtual environments at the University including internet, intranet and social media.

Natural Justice: includes the person complaining or complained about having a fair opportunity to be heard and respond on the matters in issue; and the decision-maker being free from bias or pre-determination.

Respect: showing due regard for the feelings, wishes, or rights of others.

Responsibility: having a duty to deal with something or, having control over someone, or being accountable/to blame for something.

Rule: means any written direction or requirement made by the Council, Senate, any of their Committees, or any authorised person of which notice has been given by publication in the University Calendar, University Policy Hub, or by other means.

Sustainability: working towards sustainable development as outlined by the UN’s [Sustainable Development Goals](#).

University community: students, staff, alumni, supporters, the Council, visitors and contractors, when they are on campus, representing or associated with the University and in University-affiliated digital spaces.



Internal Memorandum

Date: 22.11.19

To: Council

From: Mrs Adrienne Cleland, returning Officer

CC:

Subject: Report to Council: Elections for staff positions on Council

I report to Council the results of the two elections held recently to fill the positions on Council provided for in Sections 3(d) and 3(e) of the amended University of Auckland Constitution for one permanent member of the academic staff elected by the permanent members of that staff, and one permanent member of the professional staff elected by the permanent members of that staff.

Elections were conducted in accordance with the Council Appointments Statute 2019, Council Appointments Procedures 2019 and Elections Procedures.

Notices of candidacy were invited between 11 September and 3 October 2019. Two Notices of Candidacy were received for the academic staff member on Council, and two for the professional staff member on Council.

Voting opened on 23 October and closed on 6 November 2019.

I declare the following staff members elected:

- Professor Jennifer Curtin to fill the position for a permanent member of the academic staff elected by the permanent members of that staff, and
- Catherine Dunphy to fill the position for a permanent member of the professional staff elected by the permanent members of that staff.

These appointments are effective from 1 Jan 2020 for a period of four years.

Mrs Adrienne Cleland

Returning Officer