



Tertiary Education Commission
Te Amorangi Mātauranga Matua

Performance-Based Research Fund

ANNUAL REPORT
2008

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Chapter 1

Overview

Introduction

- 1** The purpose of conducting research in the tertiary education sector is twofold: to advance knowledge and understanding across all fields of human endeavour; and to ensure learning and especially research training at the postgraduate level occurs in an environment characterised by vigorous and high-quality research activity.
- 2** The primary goal of the Performance-Based Research Fund (PBRF) is to ensure excellent research in the tertiary education sector is encouraged and rewarded. This entails assessing the research performance of New Zealand-based degree-granting tertiary education providers (and subsidiaries that are wholly-owned by such providers) and then funding them on the basis of their performance.¹
- 3** The PBRF has three components: a periodic Quality Evaluation using expert panels to assess research quality based on material contained in Evidence Portfolios (EPs); a measure for research degree completions (RDC); and a measure for external research income (ERI). In the PBRF funding formula, the three components are weighted 60 percent, 25 percent and 15 percent respectively.
- 4** The Government's decision to implement the PBRF was the product of detailed analysis of the relevant policy issues and options by the Tertiary Education Advisory Commission (2000-01), Ministry of Education, Transition Tertiary Education Commission (2001-02) and PBRF Working Group (2002).
- 5** The Tertiary Education Commission Te Amorangi Mātauranga Matua (TEC) manages the PBRF.
- 6** Wide consultation with the tertiary education sector occurred during the process of policy development and implementation and was also a key feature of the review of the PBRF in preparation for the 2006 Quality Evaluation. Consultation in preparation for the 2012 Quality Evaluation is currently being undertaken.
- 7** Funding allocations through the PBRF were fully implemented in 2007.
- 8** The PBRF 2008 Annual Report updates the results for the RDC and ERI measures, incorporating data from the 2005, 2006 and 2007 years. It also includes data on the indicative funding allocations for the 2009 year for TEOs participating in the PBRF. All ERI figures and indicative funding allocations for 2009 are GST exclusive.²

¹ Industry Training Organisations are not eligible for PBRF funding.

² Unless otherwise specified, references to years refer to the relevant calendar year, ie. 1 January to 31 December of the given year(s).

Key facts

- 9 A total of 45 tertiary education organisations (TEOs) are eligible for PBRF funding in 2009. Of this group, 27 are participating in the measures that form the PBRF. The 27 participants are: all eight of New Zealand's universities, 10 of the 17 eligible institutes of technology and polytechnics, two of the three eligible wānanga, and seven of the 17 eligible private training establishments.
- 10 The ERI generated by the 17 TEOs that lodged returns for the 2007 year totalled just under \$322 million.
- 11 Fourteen TEOs participated in the RDC measure in the 2007 year. The majority of the completions were for masters courses, with the remainder being for doctorates.

Funding allocations

- 12 In the 2009 funding year, the funding allocated by means of the three PBRF performance measures will be \$238.7 million (based on current forecasts).

Content of this report

- 13
 - Chapters 2 and 3 consider the ERI and RDC performance measures that form part of the PBRF.
 - Chapter 4 outlines the PBRF funding formula and the indicative funding allocations to participating TEOs for 2009.
 - Appendix A contains additional statistical information relating to the RDC measure.
 - Appendix B sets out the funding allocated to TEOs for the 2008 funding year following the finalisation of the PBRF pool size for that year.
 - Appendix C sets out the funding allocated to TEOs for the 2007 funding year following the finalisation of the PBRF pool size for that year.

Chapter 2

External research income

Introduction

- 14** The external research income (ERI) measure accounts for 15 percent of the total funds allocated through the PBRF each year. External research income is included as a performance indicator in the PBRF on the basis that it provides a good proxy for research quality. The underlying assumption is that external research funders are discriminating in their choice of who to fund, and that they will allocate their limited resources to those they see as undertaking research of a high quality.
- 15** External research income is defined as the total of research income received by a TEO (and/or any 100 percent owned subsidiary), excluding income from:
- TEO employees who receive ERI in their personal capacity (ie. the ERI is received by them and not their employer)
 - controlled trusts
 - partnerships, and
 - joint ventures.
- 16** A complete description of inclusions and exclusions is given in the *PBRF Guidelines 2006* (Chapter 5) along with guidance on the status of joint or collaborative research.
- 17** Only income for work that has actually been undertaken may be included in the ERI calculation.
- 18** Tertiary Education Organisations that participate in the ERI measure submit returns showing the amount of PBRF-eligible ERI to the TEC. This amount represents their total PBRF-eligible ERI for the 12 months ending 31 December of the preceding year. A declaration signed by the TEO's Chief Executive and an independent audit opinion is provided to the TEC to support each ERI calculation.³

Funding allocations

- 19** Within the ERI component of PBRF funding, a funding allocation ratio determines the amount paid to each TEO. The ERI measure is calculated as an unequally weighted three-year rolling average. The 2009 funding allocation ratio for each TEO was based on 15 percent of their ERI figure for 2005, 35 percent of their ERI figure for 2006, and 50 percent of their ERI figure for 2007 (see Table 2.1 for the ERI figure used to determine the funding allocation).
- 20** The total ERI for the 2005, 2006 and 2007 calendar years has been updated to reflect changes in the returns and so may differ from that previously reported. External research income submitted by the former colleges of education has been reported separately.
- 21** In 2007, the total ERI declared by the 17 TEOs participating in the ERI measure was just under \$322 million (see Table 2.1). Seven of the eight universities reported figures in excess of \$16 million in their ERI returns dominating the generation of ERI. The remaining TEOs reported ERI of less than \$11 million in total.

³ If the total ERI is less than \$200,000, the TEO is permitted to submit its worksheets in lieu of an independent audit opinion.

22 ERI reported by TEOs increased overall by 5.72 percent between 2006 and 2007. Four TEOs reported increases of greater than 100 percent in their ERI; however, these increases were from a comparatively low base. The most significant increases in dollar terms were achieved by the University of Otago and Massey University - accounting for 47.6 percent of the overall increase in ERI reported in dollar terms by TEOs. Ten TEOs reported a drop in ERI.

23 In terms of ERI reported:

- a significant gap exists between the amount of research income reported by the two universities earning the largest amount of ERI and the amount of research income reported by the other six universities⁴, and
- non-universities' research income was considerably less in total than that reported by any one university.

Table 2.1: External research income 2005-2007 GST exclusive

TEO NAME	2005 (\$)	2006 (\$)	2007 (\$)	Change 2006-2007 (%)	PBRF-weighted (see paragraph 19) (\$)
The University of Auckland	\$106,147,979	\$113,859,434	\$116,683,274	2.48%	\$114,114,636
University of Otago	\$67,404,653	\$67,152,313	\$72,047,118	7.29%	\$69,637,567
Dunedin College of Education	\$77,595	-	-	-	\$11,639
Massey University	\$36,392,947	\$38,039,685	\$41,427,653	8.91%	\$39,486,658
University of Canterbury	\$17,407,993	\$20,411,518	\$22,670,439	11.07%	\$21,090,450
Victoria University of Wellington	\$18,406,557	\$23,262,412	\$24,029,305	3.30%	\$22,917,480
The University of Waikato	\$15,592,836	\$15,236,406	\$16,341,904	7.26%	\$15,842,620
Lincoln University	\$16,354,761	\$16,317,474	\$18,691,168	14.55%	\$17,509,914
Auckland University of Technology	\$4,824,164	\$6,921,828	\$6,728,068	(2.80%)	\$6,510,298
Unitec New Zealand	\$602,563	\$631,030	\$1,582,521	150.78%	\$1,102,505
Otago Polytechnic	\$242,034	\$197,646	\$101,195	(48.80%)	\$156,079
Waikato Institute of Technology	\$585,279	\$503,568	\$278,074	(44.78%)	\$403,078
Manukau Institute of Technology	\$193,919	\$48,302	\$89,559	85.41%	\$90,773
Christchurch Polytechnic Institute of Technology	\$247,935	\$296,441	\$841,540	183.88%	\$561,715
Open Polytechnic of New Zealand	\$699,653	\$770,174	\$45,778	(94.06%)	\$397,398
Eastern Institute of Technology	\$10,995	\$13,121	-	(100.00%)	\$6,242
Whitireia Community Polytechnic	\$48,829	\$100,444	\$207,799	106.88%	\$146,379
Northland Polytechnic	\$27,000	\$17,099	-	(100.00%)	\$10,035
Te Wānanga o Aotearoa	\$88,834	-	-	-	\$13,325
Te Whare Wānanga o Awanuiārangi	\$88,333	\$544,085	\$219,257	(59.70%)	\$313,308
Anamata	\$437,363	\$188,326	-	(100.00%)	\$131,519
Laidlaw College	\$22,000	\$1,466	\$6,602	350.34%	\$7,114
Bethlehem Institute of Education	\$60,000	\$60,000	-	(100.00%)	\$30,000
Total	\$285,964,222	\$304,572,772	\$321,991,254	5.72%	\$310,490,731

4 The two universities earning the largest amount of ERI both have medical schools.

Chapter 3

Research degree completions

Introduction

- 24** The research degree completions (RDC) measure accounts for 25 percent of the total funds to be allocated through the PBRF each year. The use of RDC as a performance indicator in the PBRF serves two key purposes:
- It captures, to some degree, the connection between staff research and research training—thus providing some assurance of the future capability of tertiary education research.
 - It provides a proxy for research quality. The underlying assumption is that students choosing to undertake lengthy, expensive and advanced degrees (especially doctorates) will tend to search out departments and supervisors that have excellent reputations in the relevant fields for high quality research and research training.
- 25** To be eligible for the RDC measure, research-based postgraduate degrees (eg. masters and doctorates) must be completed within a TEO and must meet the following criteria:
- the degree has a research component of 0.75 Equivalent Full-Time Student (EFTS) value or more
 - the student who has completed the degree has met all compulsory academic requirements by 31 December 2007, and
 - the student has completed the course successfully.

Funding formula and allocations

- 26** Within the RDC component of PBRF funding, a funding allocation ratio determines the amount allocated to each TEO. The RDC measure is calculated as an unequally weighted three-year rolling average. The 2009 funding allocation ratio for each TEO was based on 15 percent of their RDC figure for 2005, 35 percent of their RDC figure for 2006, and 50 percent of their RDC figure for 2007.
- 27** The funding formula for the RDC component includes weightings for the following factors:
- the funding category of the subject area (a cost weighting)
 - Māori and Pacific student completions (an equity weighting), and
 - the volume of research in the degree programme (a research-component weighting).
- 28** The cost weighting (for the subject area) is the same as that applied in the Quality Evaluation part of the PBRF and is determined by the course's Student Achievement Component funding category as set down in the course register (see table 3.1 and table 4.2).

Table 3.1: Cost weighting

Student achievement component - funding category	Weighting
A, I, J	1
B, L	2
C, G, H, M, Q	2.5

- 29 Table 3.2 shows the equity weighting applied to each individual completion. This weighting aims to encourage TEOs to enrol and support Māori and Pacific students, as their representation at higher levels of the National Qualifications Framework is low. Ethnicity is taken from the student enrolments file using the latest enrolments in the course.

Table 3.2: Equity weighting

Ethnicity	Weighting
Māori	2
Pacific	2
All other ethnicities	1

- 30 The research-component weighting uses a “volume of research factor” (VRF). The VRF is based on the volume of research included in the degree programme that has been completed, as shown in table 3.3.

Table 3.3: Research-component weighting

Research-component weighting	VRF
Less than 0.75 EFTS	0
0.75 EFTS to 1.0 EFTS of masters degree	EFTS value
Masters course of 1.0 EFTS thesis or more	1
Doctorate	3

Results

- 31 A total of 2,575 eligible completions were reported by 14 TEOs in 2007 compared to 2,592 from 14 TEOs in 2006 (see figure 3.1). Reported RDCs decreased by 17 (or 1 percent) between 2006 and 2007.⁵
- 32 In the 2007 calendar year, the majority of the completions (72 percent) were masters courses; 28 percent were doctorates. Doctorate completions were reported by all universities.
- 33 Of the universities, two reported growth in completions in the 2007 calendar year (table A-4), one reported that degree completions had remained the same as in 2006 and five reported decreases in their research degree completions. These numbers are in terms of overall research degree completions.

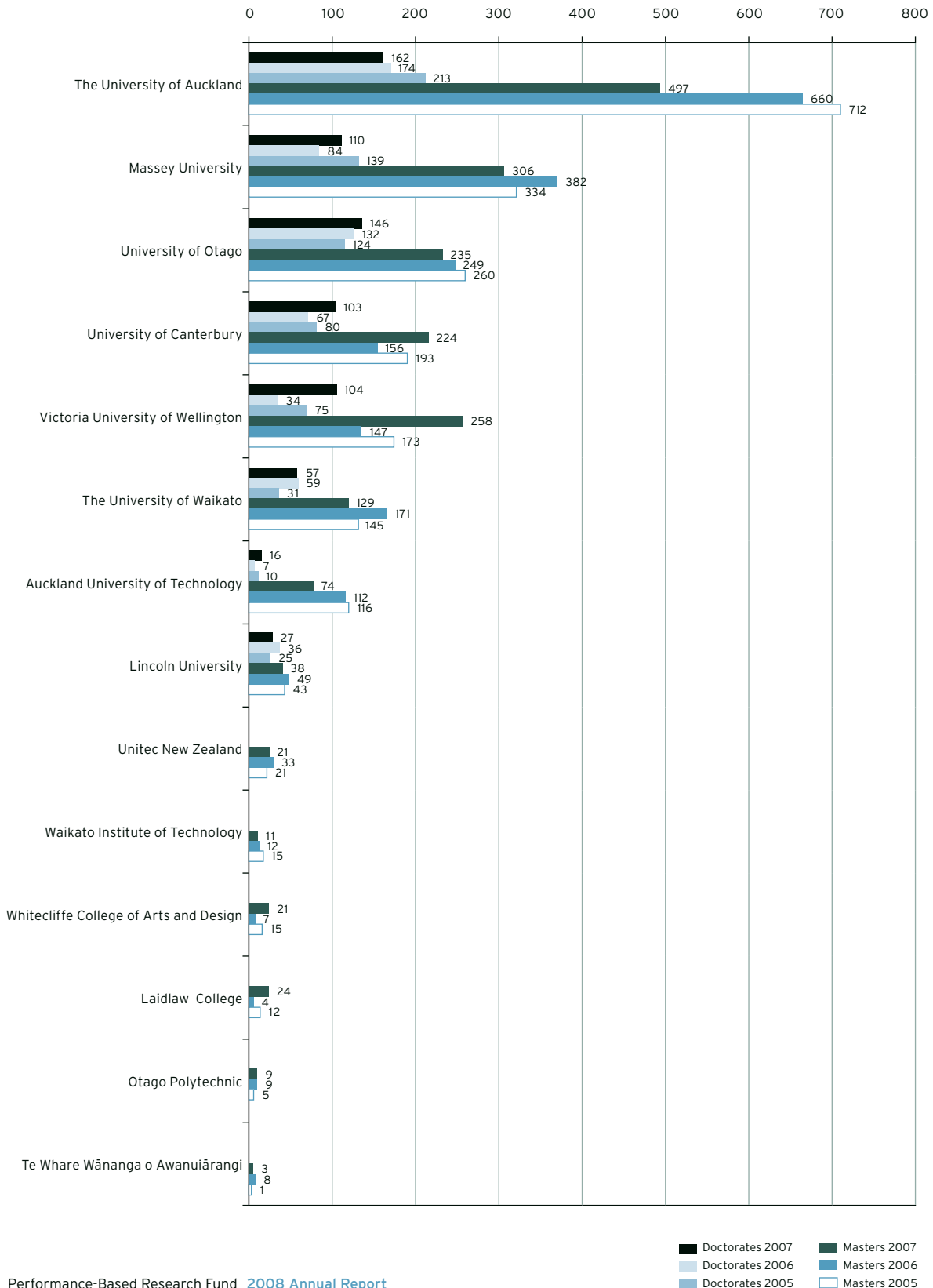
⁵ Completion figures are subject to change as updated information is provided by participating TEOs.

- 34** Auckland, Massey, Otago and Victoria universities reported more than 350 research degree completions each during 2007. The University of Auckland reported the highest number of completions overall.
- 35** In 2007, The University of Auckland reported more masters completions than any other TEO.
- 36** Compared to the average, some universities (eg. Lincoln, Canterbury and Otago) had relatively more doctorate completions; Canterbury and Otago had relatively more completions in higher-weighted subject areas. These universities' funding allocation ratios for the RDC component was therefore higher than that of other TEOs with similar numbers of overall completions. (See Chapter 4 for detail on the 2009 indicative allocations.)⁶
- 37** Demographically (refer to Appendix A; Figure A-3), the RDC results show that:
- of the completions in 2007, the majority were by New Zealand European/Pākehā students. There is a noticeable numerical decrease from the 2005 numbers, from 1,636 to 1,376 in 2007
 - the proportion of completions by Māori students decreased slightly from 2006 (175) to 2007 (161), and is similar to the 2005 level (153)
 - completions by Pacific students reflected the downward trend with a slight decrease from 2006 figures (from 224 to 203).⁷

⁶ Only universities report doctorate completions.

⁷ Pacific students include Cook Island Māori, Fijian, Niuean, Samoan, Tongan, Other Pacific Island groups.

Figure 3.1: 2007 research degree completions measure - volume of masters and doctorates



Chapter 4

PBRF funding apportionment

Introduction

- 38** The amount of PBRF funding that each TEO receives is determined by its performance in the three components of the PBRF:
- the 2006 Quality Evaluation (60 percent)
 - RDC (25 percent), and
 - ERI (15 percent).
- 39** Each TEO's share of funding for each of these three components is determined by its performance relative to other participating TEOs.

The funding formula for the quality measure

- 40** Funding in relation to the Quality Evaluation is based on the:
- quality categories assigned to Evidence Portfolios (EPs)
 - funding weighting for the subject area to which EPs have been assigned, and
 - full-time equivalent (FTE) status of the participating TEOs' PBRF-eligible staff as at the date of the PBRF Census: Staffing Return (with the qualifications as outlined below in the section "FTE status of staff").

Quality categories

- 41** The PBRF funding generated through the staff who participate in the Quality Evaluation is determined by the quality category assigned to their EP by the relevant peer review panel. These quality categories are then given a numerical weighting known as a "quality weighting". The quality weightings used in the 2006 Quality Evaluation are outlined in table 4.1.

Table 4.1: Quality category weighting

Quality category	Quality weighting
A	5
B	3
C	1
C(NE)	1
R	0
R(NE)	0

Funding weighting for subject areas

42 Subject-area weightings are based on an EP's primary subject area of research. The current funding weightings for subject areas are shown in table 4.2.

Table 4.2: Subject-area weighting

Subject areas	Funding category	Weighting
Māori knowledge and development; law; history, history of art, classics and curatorial studies; English language and literature; foreign languages and linguistics; philosophy; religious studies and theology; political science, international relations and public policy; human geography; sociology, social policy, social work, criminology and gender studies; anthropology and archaeology; communications, journalism and media studies; education; pure and applied mathematics; statistics; management, human resources, industrial relations, international business and other business; accounting and finance; marketing and tourism; and economics.	A, I, J	1
Psychology; chemistry; physics; earth sciences; molecular, cellular and whole organism biology; ecology, evolution and behaviour; computer science, information technology, information sciences; nursing; sport and exercise science; other health studies (including rehabilitation therapies); music, literary arts and other arts; visual arts and crafts; theatre and dance, film and television and multimedia; and design.	B, L	2
Engineering and technology; agriculture and other applied biological sciences; architecture, design, planning, surveying; biomedical; clinical medicine; pharmacy; public health; veterinary studies and large animal science; and dentistry.	C, G, H, M, Q	2.5

Full-time equivalent status of staff

43 The FTE status of each staff member is also a factor in the formula. Funding is generated in proportion to FTE status (as supplied by TEOs in the PBRF Census: Staffing Return). Four particular considerations apply to FTE calculations.

- When staff were concurrently employed at two TEOs, they generated an FTE entitlement for each organisation based on their FTE status in their employment agreement with each TEO.
- For most staff, the FTE that applied was the FTE status in the week of 12 June 2006 to 16 June 2006. (The PBRF Census date for the 2006 Quality Evaluation was 14 June 2006.) However, if staff had changed their employment status within the TEO during the previous 12 months their FTE status was their average FTE over the period (eg. six months at 0.5 FTE and six months at 1 FTE = 0.75 FTE).

- When a staff member started employment in the 12-month period before the census and was previously not employed by a participating TEO, then (providing they have an employment agreement of one year or more) their FTE status was as their employment agreement stated it to be at the census.
- When a staff member left one participating TEO to take up a position in another participating TEO in the 12 months before the census, both TEOs had a proportional FTE entitlement.

Quality evaluation funding formula

- 44 The funding formula for the proportion of the quality measure allocated to each TEO is:

$$\frac{\sum \text{TEO} [(numerical\ quality\ score) \times (FTE\ status\ of\ researcher) \times (funding\ weighting\ for\ relevant\ subject\ area)]}{\sum \text{all\ TEOs} [(numerical\ quality\ score) \times (FTE\ status\ of\ researcher) \times (funding\ weighting\ for\ relevant\ subject\ area)]} \times \text{Total amount of funding available for the Quality Evaluation component of the PBRF}$$

Funding formulae for external research income measures and research degree completions

- 45 The formula used to calculate the ERI measure for each TEO is:

$$\frac{\sum [(ERI\ for\ TEO2005 \times 0.15) + (ERI\ for\ TEO2006 \times 0.35) + (ERI\ for\ TEO2007 \times 0.5)]}{\sum [(Total\ ERI\ for\ TEOs2005 \times 0.15) + (Total\ ERI\ for\ all\ TEOs2006 \times 0.35) + (Total\ ERI\ for\ all\ TEOs\ 2007 \times 0.5)]} \times \text{Total amount of funding available for the ERI component of the PBRF}$$

- 46 The formula used to calculate the number of research degree completions for each TEO is:

$$RDC = [(research\ component\ weighting) \times (cost\ weighting\ for\ relevant\ subject\ area) \times (equity\ weighting)]$$

- 47 The funding formula for the proportion of the RDC measure allocated to each TEO in 2008 is:

$$\frac{\sum [(RDC\ for\ TEO2005 \times 0.15) + (RDC\ for\ TEO2006 \times 0.35) + (RDC\ for\ TEO2007 \times 0.5)]}{\sum [(Total\ RDC\ for\ TEOs2005 \times 0.15) + (Total\ RDC\ for\ all\ TEOs2006 \times 0.35) + (Total\ RDC\ for\ all\ TEOs\ 2007 \times 0.5)]} \times \text{Total amount of funding available for the RDC component of the PBRF}$$

Applying the funding formulae

- 48** Participating TEOs will receive monthly PBRF payments through the tertiary education funding system, with each monthly payment normally being of an equal amount. The amount of a TEO's overall PBRF entitlement may vary due to a range of factors including the following:
- A TEO may leave the PBRF during the course of a year by ceasing operation or changing course offerings, which may increase the value of the share of each remaining TEO.
 - Errors may be found in PBRF data as a result of checks and these, when corrected, may result in an increase or a decrease in the share of a TEO (with a corresponding adjustment for other TEOs).
 - The number of students at degree and postgraduate degree level may increase or decrease, affecting the proportion of funding available to each TEO.
- 49** A final "wash up" payment for each year will be made in the following year. This will be based on final information received from TEOs and takes into account any changes in a TEO's overall PBRF entitlement.

Indicative results for 2009

- 50** Table 4.3 and figures 4.1 and 4.2 show the PBRF allocation for the 27 TEOs eligible for PBRF funding in the 2009 funding year. The allocation ratios and funding allocations are indicative only; the final figures will be recalculated in May 2010 and will be reported in the 2009 Annual Report.
- 51** Only those TEOs who participated in the Quality Evaluation in 2006 and/or that submitted ERI or RDC returns during the 2005 to 2007 period are shown in table 4.3 and figures 4.1 and 4.2.
- 52** In 2009, as in previous years, the bulk of PBRF funding will be received by universities. Of the non-universities, only the Manukau Institute of Technology, the Waikato Institute of Technology, Unitec and Otago Polytechnic will receive greater than 0.2 percent of the total PBRF. Very little change in the overall proportions of PBRF funding that each TEO has received has occurred since 2004.
- 53** The University of Auckland (28.86 percent) and University of Otago (21.25 percent) dominate the overall funding allocations, showing significant levels of achievement in all three components of the PBRF. Their performance is particularly strong for the ERI measure; they will receive approximately 59 percent of the 2009 ERI funding, with the other universities receiving approximately 40 percent (Figure 4.3). The other 19 TEOs that submitted returns for the ERI measure will receive just over one percent of this component's funding in 2009 - a total of \$388,500 between them.
- 54** The universities of Auckland, Otago, Massey and Canterbury demonstrated the strongest performance in the RDC measure and they will secure most of the funding for this component, with 74.5 percent for this group (refer table 4.3 - indicative funding - RDC allocation ratio). Similar to 2008, the eight universities will receive around 98 percent of the RDC funding for 2009. The six TEOs that qualify for funding under this measurement will receive approximately two percent of this component's funding for 2009 - a total of \$1,032,814 between them.

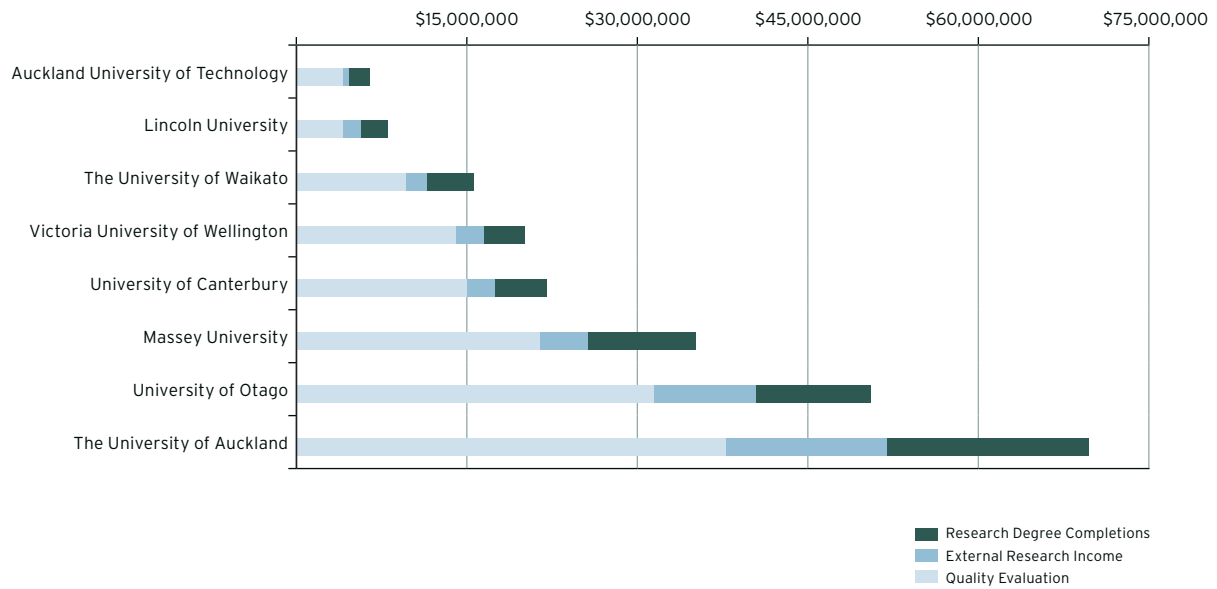
Table 4.3: 2009 PBRF indicative funding GST exclusive

TEO NAME	Quality Evaluation	External research income	Research degree completions	Total indicative allocation	Percentage of total PBRF funding
Unitec New Zealand	\$2,225,774	\$127,119	\$347,240	\$2,700,133	1.13%
Christchurch Polytechnic Institute of Technology	\$359,063	\$64,766	-	\$423,829	0.18%
Eastern Institute of Technology	\$152,462	\$720	-	\$153,182	0.06%
Manukau Institute of Technology	\$474,327	\$10,466	-	\$484,793	0.20%
Nelson Marlborough Institute of Technology	\$81,490	-	-	\$81,490	0.03%
Northland Polytechnic	\$52,091	\$1,157	-	\$53,248	0.02%
Otago Polytechnic	\$478,139	\$17,996	\$74,651	\$570,786	0.24%
Whitireia Community Polytechnic	\$60,703	\$16,878	-	\$77,581	0.03%
Waikato Institute of Technology	\$330,406	\$46,475	\$178,838	\$555,719	0.23%
Open Polytechnic of New Zealand	\$166,862	\$45,820	-	\$212,682	0.09%
The University of Auckland	\$38,687,782	\$13,157,424	\$17,033,629	\$68,878,835	28.86%
The University of Waikato	\$9,134,295	\$1,826,655	\$4,359,281	\$15,320,231	6.42%
Massey University	\$20,843,440	\$4,552,814	\$9,724,332	\$35,120,586	14.72%
Victoria University of Wellington	\$13,938,659	\$2,642,387	\$5,650,669	\$22,231,715	9.32%
University of Canterbury	\$15,175,475	\$2,431,730	\$7,185,380	\$24,792,585	10.39%
Lincoln University	\$4,467,147	\$2,018,894	\$2,120,256	\$8,606,297	3.61%
University of Otago	\$32,111,749	\$8,030,558	\$10,572,356	\$50,714,663	21.25%
Auckland University of Technology	\$3,921,882	\$750,638	\$1,987,284	\$6,659,804	2.79%
Te Wānanga o Aotearoa	\$155,286	\$1,536	-	\$156,822	0.07%
Te Whare Wānanga o Awanuiārangi	\$190,437	\$36,124	\$62,886	\$289,447	0.12%
Whitecliffe College of Arts and Design	\$40,939	-	\$245,862	\$286,801	0.12%
AIS St Helens	\$21,175	-	-	\$21,175	0.01%
Laidlaw College	\$24,705	\$820	\$123,337	\$148,862	0.06%
Bethlehem Institute of Education	\$21,175	\$3,459	-	\$24,634	0.01%
Good Shepherd College	\$21,175	-	-	\$21,175	0.01%
Carey Baptist College	\$49,409	-	-	\$49,409	0.02%
Anamata	\$12,352	\$15,164	-	\$27,516	0.01%
Total	\$143,198,399	\$35,799,600	\$59,666,001	\$238,664,000	100.00%

Research degree completion figures used for the 2009 indicative allocations are slightly different from the detailed information regarding RDC in this report, owing to the RDC data being updated since the 2009 indicative allocations were calculated.

The final PBRF funding for 2009 will be calculated in May 2010 following confirmation of the final data submissions for the three components of the PBRF. This will address any changes that have occurred since the indicative allocations.

Figure 4.1: 2009 PBRF indicative funding – universities



TEOs - universities	Quality evaluation	External research income	Research degree completions
The University of Auckland	\$38,687,782	\$13,157,424	\$17,033,629
University of Otago	\$32,111,749	\$8,030,558	\$10,572,356
Massey University	\$20,843,440	\$4,552,814	\$9,724,332
University of Canterbury	\$15,175,475	\$2,431,730	\$7,185,380
Victoria University of Wellington	\$13,938,659	\$2,642,387	\$5,650,669
The University of Waikato	\$9,134,295	\$1,826,655	\$4,359,281
Lincoln University	\$4,467,147	\$2,018,894	\$2,120,256
Auckland University of Technology	\$3,921,882	\$750,638	\$1,987,284

Figure 4.2: 2009 PBRF indicative funding – other TEOs

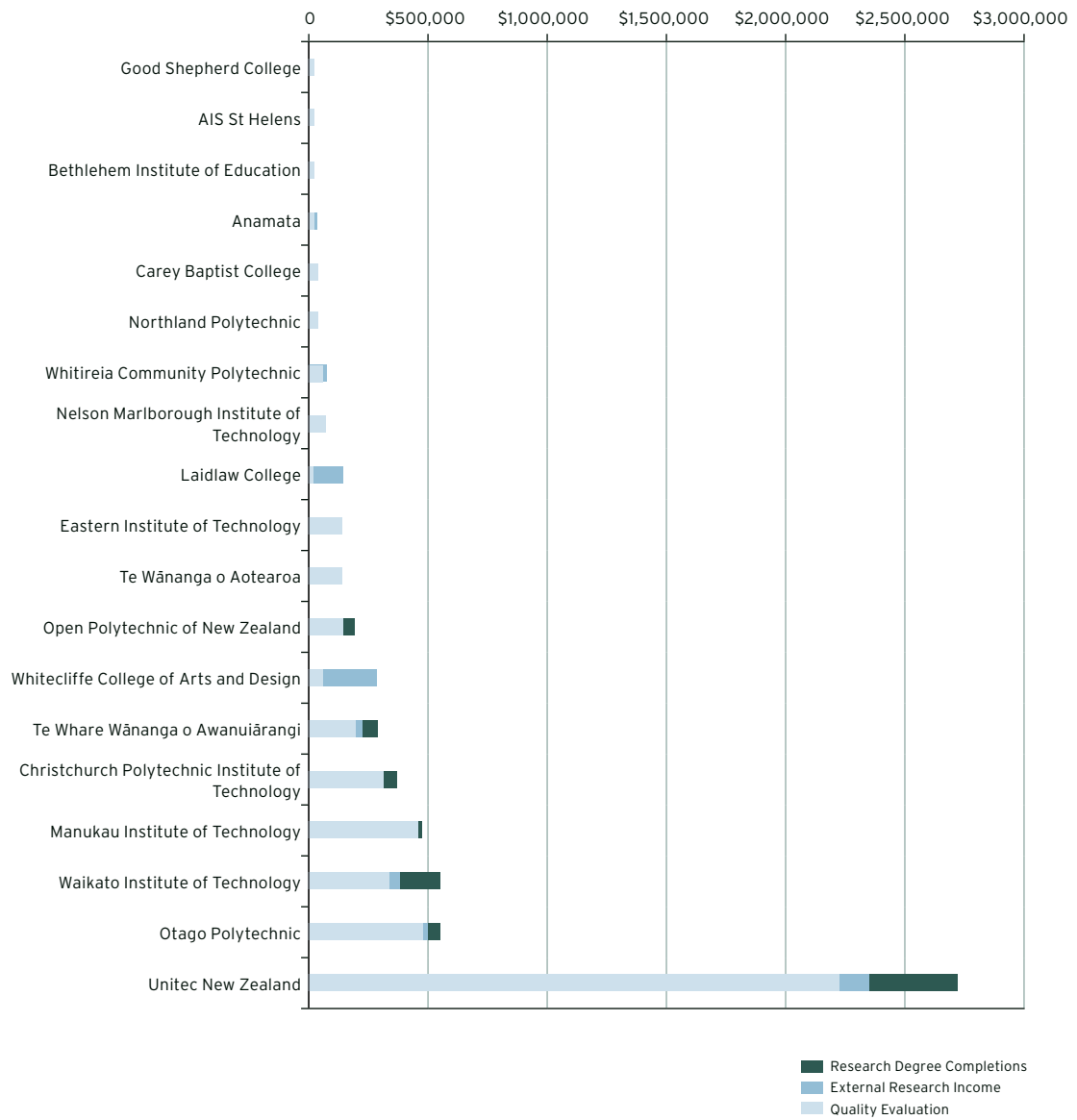
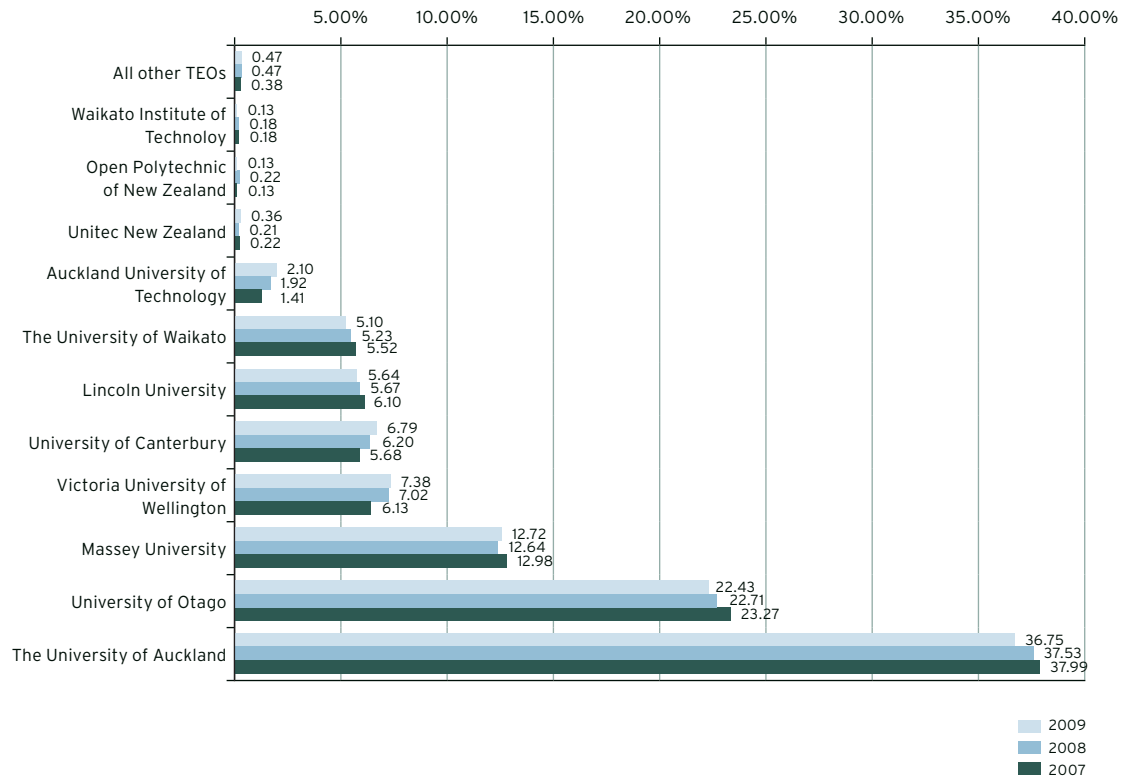


Figure 4.2 continued...

TEOs - other	Quality Evaluation	External Research Income	Research Degree Completions
Unitec New Zealand	\$2,225,774	\$127,119	\$347,240
Otago Polytechnic	\$478,139	\$17,996	\$74,651
Waikato Institute of Technology	\$330,406	\$46,475	\$178,838
Manukau Institute of Technology	\$474,327	\$10,466	-
Christchurch Polytechnic Institute of Technology	\$359,063	\$64,766	-
Te Whare Wānanga o Awanuiārangi	\$190,437	\$36,124	\$62,886
Whitecliffe College of Arts and Design	\$40,939	-	\$245,862
Open Polytechnic of New Zealand	\$166,862	\$45,820	-
Te Wānanga o Aotearoa	\$155,286	\$1,536	-
Eastern Institute of Technology	\$152,462	\$720	-
Laidlaw College	\$24,705	\$820	\$123,337
Nelson Marlborough Institute of Technology	\$81,490	-	-
Whitireia Community Polytechnic	\$60,703	\$16,878	-
Northland Polytechnic	\$52,091	\$1,157	-
Carey Baptist College	\$49,409	-	-
Anamata	\$12,352	\$15,164	-
Bethlehem Institute of Education	\$21,175	\$3,459	-
AIS St Helens	\$21,175	-	-
Good Shepherd College	\$21,175	-	-

Figure 4.3: External research income ratios used for 2007, 2008, 2009 allocations



Appendix A

Statistical information (RDC measure)

Table A-1: Research degree completions: TEO rankings based on subject-area weightings - all completions

TEO	Subject-area weighting	2005	2006	2007
The University of Auckland	1	265	300	181
	2	488	376	329
	2.5	172	158	149
The University of Auckland total		925	834	659
Massey University	1	151	184	161
	2	232	205	167
	2.5	90	77	88
Massey University total		473	466	416
University of Otago	1	91	101	86
	2	205	210	181
	2.5	88	70	114
University of Otago total		384	381	381
University of Canterbury	1	73	62	80
	2	113	102	146
	2.5	87	59	101
University of Canterbury total		273	223	327
Victoria University of Wellington	1	117	101	164
	2	128	79	189
	2.5	3	1	9
Victoria University of Wellington total		248	181	362
The University of Waikato	1	52	69	77
	2	107	146	99
	2.5	17	15	10
The University of Waikato total		176	230	186
Auckland University of Technology	1	49	44	40
	2	57	49	27
	2.5	20	26	23
Auckland University of Technology total		126	119	90
Lincoln University	1	24	31	24
	2	26	23	21
	2.5	18	31	20
Lincoln University total		68	85	65
Unitec New Zealand	1	5	13	8
	2	10	17	8
	2.5	6	3	5
Unitec New Zealand total		21	33	21
Waikato Institute of Technology	2	15	12	11
Waikato Institute of Technology total		15	12	11
Whitecliffe College of Arts and Design	2	15	7	21
Whitecliffe College of Arts and Design total		15	7	21
Laidlaw College	1	12	4	24
Laidlaw College total		12	4	24
Otago Polytechnic	2	5	9	9
Otago Polytechnic total		5	9	9
Te Whare Wānanga o Awanuiārangī	1	1	8	3
Te Whare Wānanga o Awanuiārangī total		1	8	3

Table A-2: Research degree completions: TEO rankings based on subject-area weightings - masters theses and other substantial research courses

TEO	Subject-area weighting	2005	2006	2007
The University of Auckland	1	203	235	132
	2	387	315	261
	2.5	122	110	104
The University of Auckland total		712	660	497
Massey University	1	103	147	117
	2	177	180	130
	2.5	54	55	59
Massey University total		334	382	306
University of Otago	1	69	62	52
	2	138	148	115
	2.5	53	39	68
University of Otago total		260	249	235
University of Canterbury	1	54	49	54
	2	77	69	101
	2.5	62	38	69
University of Canterbury total		193	156	224
Victoria University of Wellington	1	82	83	114
	2	88	64	137
	2.5	3		7
Victoria University of Wellington total		173	147	258
The University of Waikato	1	41	45	47
	2	92	116	76
	2.5	12	10	6
The University of Waikato total		145	171	129
Auckland University of Technology	1	43	43	33
	2	53	45	19
	2.5	20	24	22
Auckland University of Technology total		116	112	74
Lincoln University	1	18	23	19
	2	17	12	13
	2.5	8	14	6
Lincoln University total		43	49	38
Unitec New Zealand	1	5	13	8
	2	10	17	8
	2.5	6	3	5
Unitec New Zealand total		21	33	21
Waikato Institute of Technology	2	15	12	11
Waikato Institute of Technology total		15	12	11
Whitecliffe College of Arts and Design	2	15	7	21
Whitecliffe College of Arts and Design total		15	7	21
Laidlaw College	1	12	4	24
Laidlaw College total		12	4	24
Otago Polytechnic	2	5	9	9
Otago Polytechnic total		5	9	9
Te Whare Wānanga o Awanuiārangi	1	1	8	3
Te Whare Wānanga o Awanuiārangi total		1	8	3

Table A-3: Research degree completions: TEO rankings based on subject-area weightings doctorates

TEO	Subject-area weighting	2005	2006	2007
The University of Auckland	1	62	65	49
	2	101	61	68
	2.5	50	48	45
The University of Auckland total		213	174	162
Massey University	1	48	37	44
	2	55	25	37
	2.5	36	22	29
Massey University total		139	84	110
University of Otago	1	22	39	34
	2	67	62	66
	2.5	35	31	46
University of Otago total		124	132	146
University of Canterbury	1	19	13	26
	2	36	33	45
	2.5	25	21	32
University of Canterbury total		80	67	103
Victoria University of Wellington	1	35	18	50
	2	40	15	52
	2.5		1	2
Victoria University of Wellington total		75	34	104
The University of Waikato	1	11	24	30
	2	15	30	23
	2.5	5	5	4
The University of Waikato total		31	59	57
Lincoln University	1	6	8	5
	2	9	11	8
	2.5	10	17	14
Lincoln University total		25	36	27
Auckland University of Technology	1	6	1	7
	2	4	4	8
	2.5		2	1
Auckland University of Technology total		10	7	16

Table A-4: Research degree completions by TEO - volume of masters and doctorates

TEO	2005 Masters	2006 Masters	2007 Masters	2005 Doctorates	2006 Doctorates	2007 Doctorates
The University of Auckland	712	660	497	213	174	162
Massey University	334	382	306	139	84	110
University of Otago	260	249	235	124	132	146
University of Canterbury	193	156	224	80	67	103
Victoria University of Wellington	173	147	258	75	34	104
The University of Waikato	145	171	129	31	59	57
Auckland University of Technology	116	112	74	10	7	16
Lincoln University	43	49	38	25	36	27
Unitec New Zealand	21	33	21	-	-	-
Waikato Institute of Technology	15	12	11	-	-	-
Whitecliffe College of Arts and Design	15	7	21	-	-	-
Laidlaw College	12	4	24	-	-	-
Otago Polytechnic	5	9	9	-	-	-
Te Whare Wānanga o Awanuiārangi	1	8	3	-	-	-

Figure A-1: Research degree completions for TEOs - total completions of masters theses and other substantial research courses

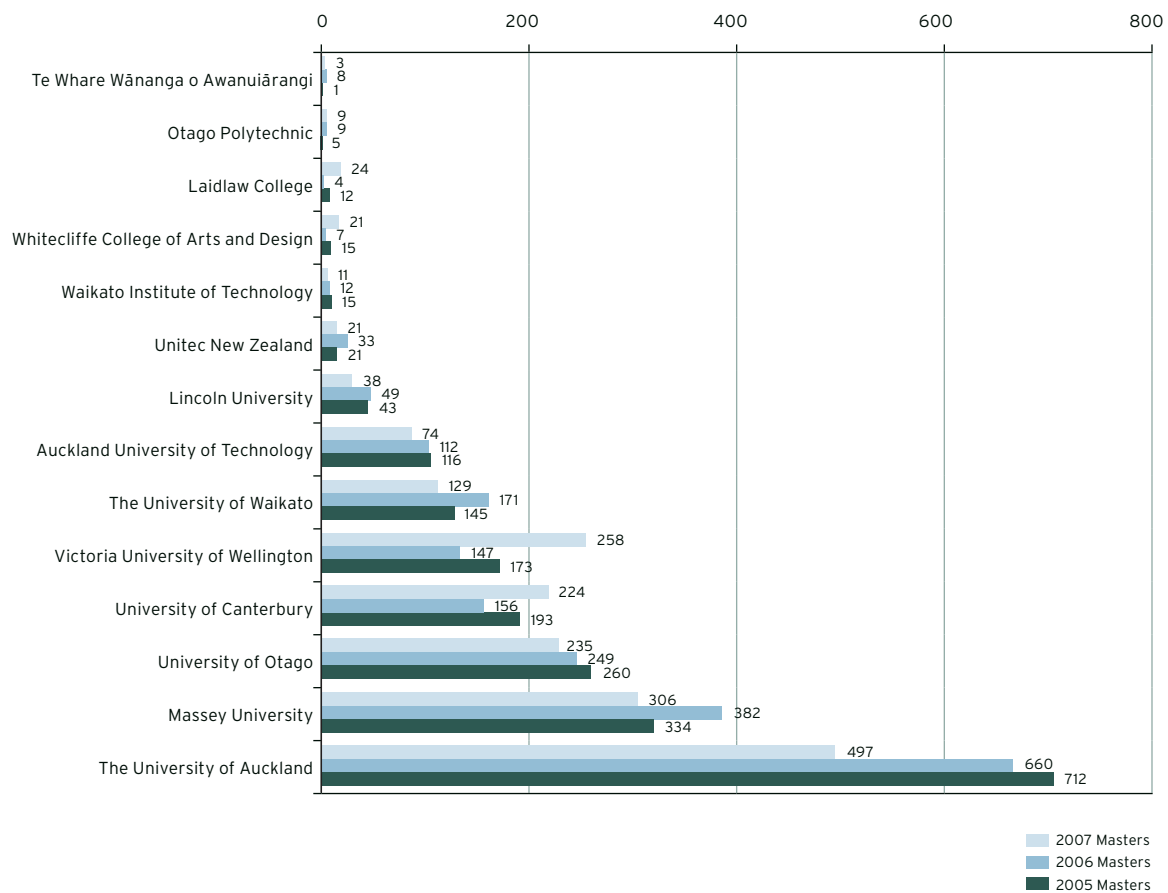


Figure A-2: Research degree completions for TEOs - total completions of doctorates

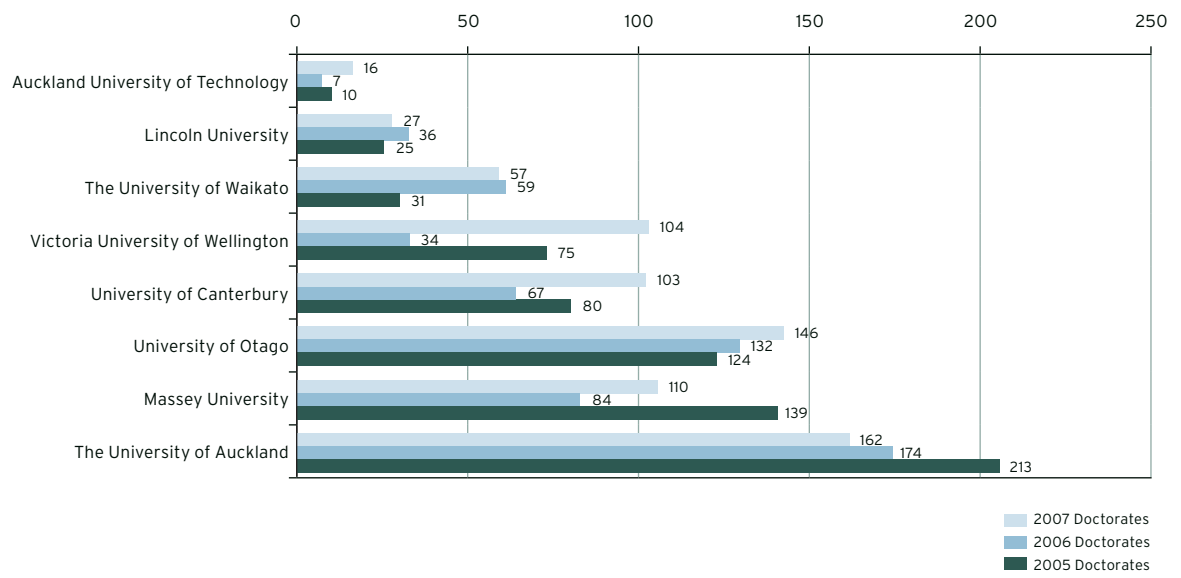


Figure A-3: Research degree completions based on ethnicity

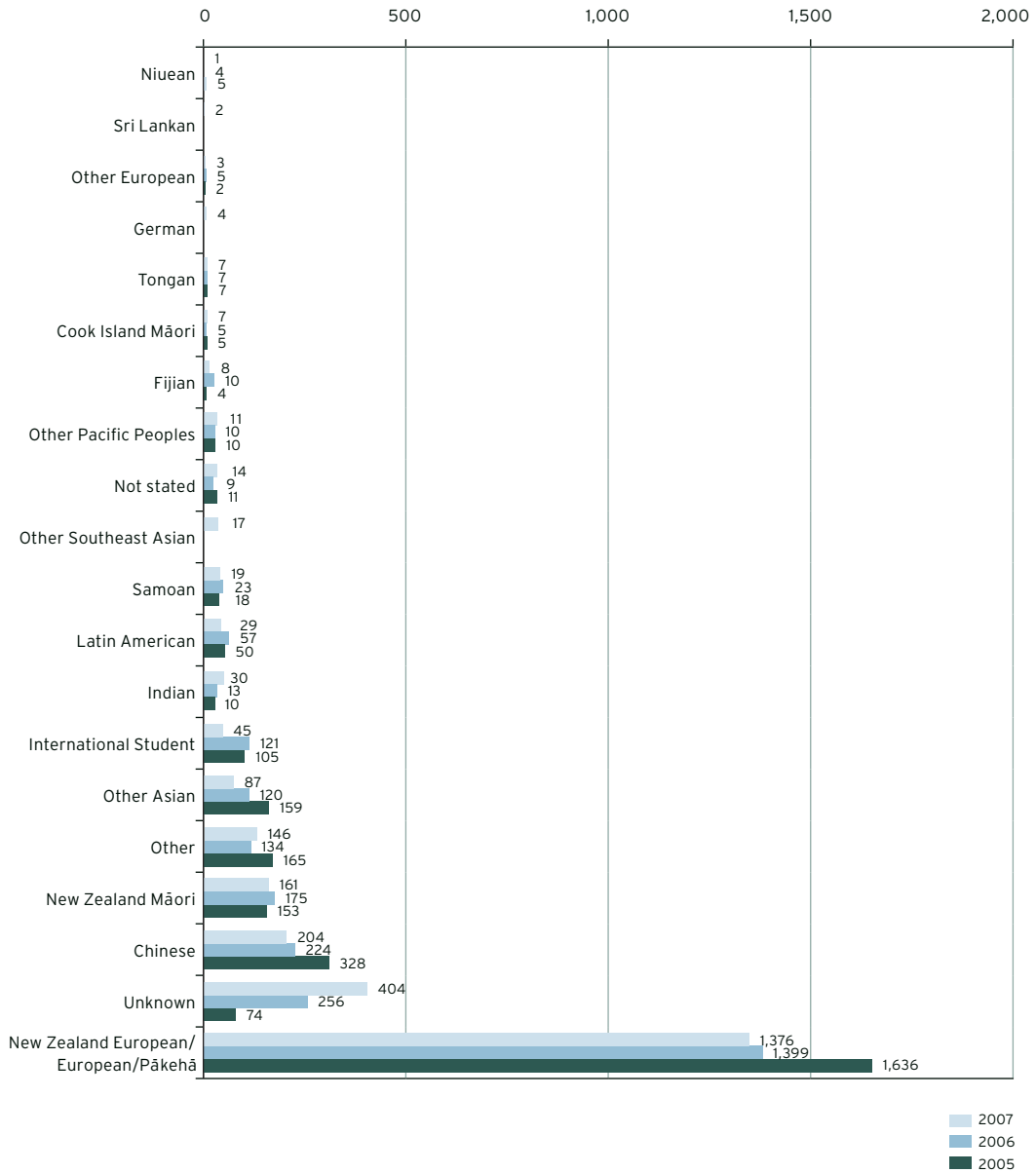
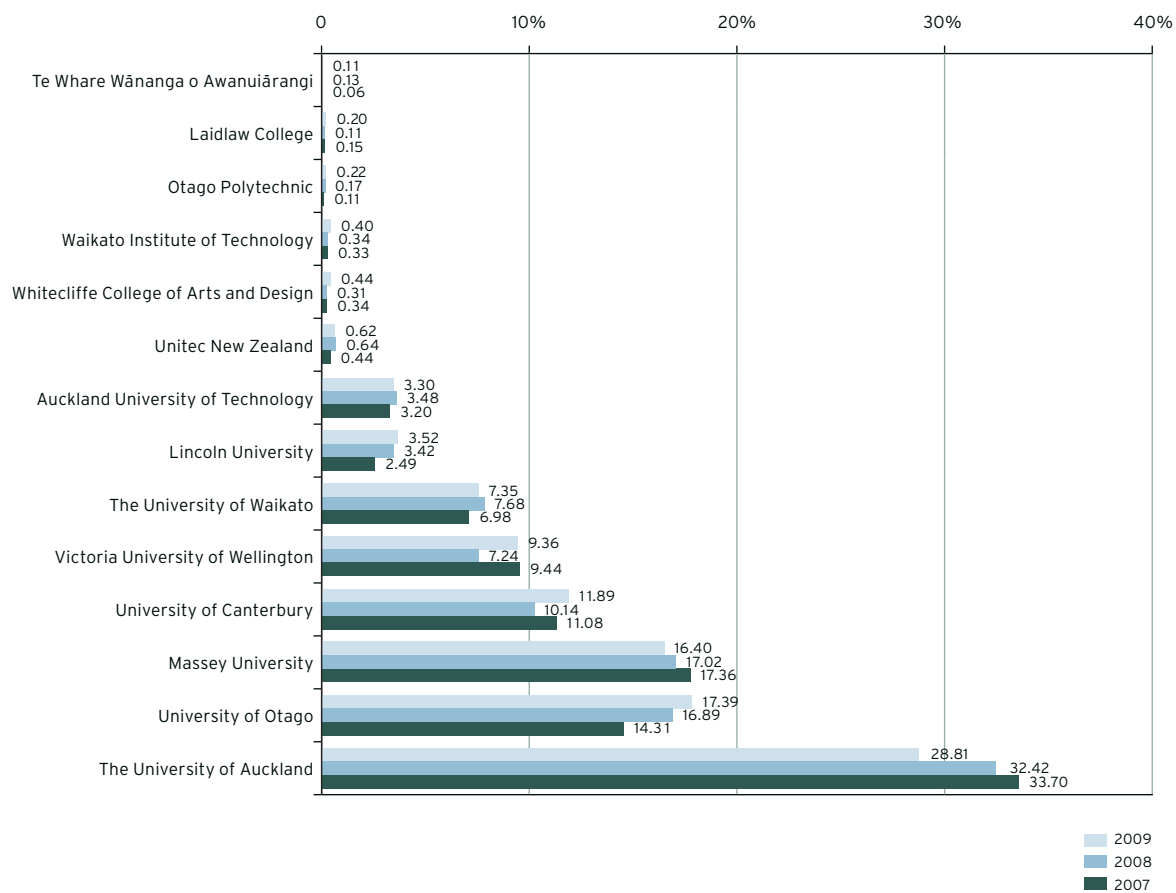


Figure A-4: Indicative funding - research degree completions allocation ratio



Appendix B

Final TEO funding (2008 funding year)

- 1 Table B-1 shows the final PBRF allocation following calculation of the “wash-up” funding for the TEOs that were eligible to receive PBRF funding in the 2008 funding year. Only those TEOs who participated in the Quality Evaluation 2006 and/or that submitted ERI or RDC returns for the 2004 to 2006 period are shown in Table B-1.
- 2 The final PBRF pool size for the 2008 calendar year was \$231.6 million. This final pool was \$6.1 million or 2.7 percent higher than the indicative PBRF pool size for the 2008 calendar year. Each participating TEO received a one-off payment to reflect the increase in the pool size.

Table B-1: PBRF final TEO funding 2008 - GST exclusive

TEO	Quality Evaluation	External research income	Research degree completions	2008 PBRF final allocation
Unitec New Zealand	\$2,159,709	\$72,405	\$375,723	\$2,607,837
Christchurch Polytechnic Institute of Technology	\$348,405	\$30,272	-	\$378,677
Eastern Institute of Technology	\$147,937	\$1,242	-	\$149,179
Manukau Institute of Technology	\$460,248	\$12,404	-	\$472,652
Nelson Marlborough Institute of Technology	\$79,071	-	-	\$79,071
Northland Polytechnic	\$50,545	\$2,148	-	\$52,693
Otago Polytechnic	\$463,947	\$23,885	\$101,843	\$589,675
Whitireia Community Polytechnic	\$58,901	\$8,315	-	\$67,216
Waikato Institute of Technology	\$320,599	\$63,605	\$199,466	\$583,670
Open Polytechnic of New Zealand	\$161,909	\$75,174	-	\$237,083
Christchurch College of Education	\$192,592	\$1,053	\$13,998	\$207,643
Dunedin College of Education	\$62,668	\$3,337	\$17,853	\$83,858
The University of Auckland	\$37,539,456	\$13,036,694	\$18,941,949	\$69,518,099
The University of Waikato	\$8,863,172	\$1,817,980	\$4,485,196	\$15,166,348
Massey University	\$20,224,767	\$4,390,980	\$9,958,596	\$34,574,343
Victoria University of Wellington	\$13,524,934	\$2,436,084	\$3,687,545	\$19,648,563
University of Canterbury	\$14,532,446	\$2,152,964	\$5,940,160	\$22,625,570
Lincoln University	\$4,334,554	\$1,971,119	\$1,996,892	\$8,302,565
University of Otago	\$31,095,944	\$7,885,142	\$9,844,043	\$48,825,129
Auckland University of Technology	\$3,805,474	\$668,257	\$2,031,786	\$6,505,517
Te Wānanga o Aotearoa	\$150,677	\$5,602	-	\$156,279
Te Whare Wānanga o Awanuiārangi	\$184,784	\$36,152	\$73,846	\$294,782
Whitecliffe College of Arts and Design	\$39,724	-	\$178,529	\$218,253
AIS St Helens	\$20,547	-	-	\$20,547
Laidlaw College	\$23,971	\$1,006	\$66,137	\$91,114
Bethlehem Institute of Education	\$20,547	\$7,653	-	\$28,200
Good Shepherd College	\$20,547	-	-	\$20,547
Carey Baptist College	\$47,943	-	-	\$47,943
Anamata	\$11,986	\$33,526	-	\$45,512
Grand total	\$138,948,004	\$34,736,999	\$57,913,562	\$231,598,565

Appendix C

Final TEO funding (2007 funding year)

- 1 Table C-1 shows the final PBRF allocation following calculation of the "wash-up" funding for the TEOs that were eligible to receive PBRF funding in the 2007 funding year. Only those TEOs who participated in the Quality Evaluation 2006 and/or that submitted ERI or RDC returns for the 2003 - 2005 period are shown in Table B-1.
- 2 The final PBRF pool size for the 2007 calendar year was \$206.3 million.

Table C-1: PBRF final TEO funding 2007 - GST exclusive

TEO	Quality Evaluation	External research income	Research degree completions	2007 PBRF final allocation
Unitec New Zealand	\$1,924,044	\$69,416	\$282,105	\$2,275,564
Christchurch Polytechnic Institute of Technology	\$310,388	\$19,425	-	\$329,812
Eastern Institute of Technology	\$131,795	\$635	-	\$132,429
Manukau Institute of Technology	\$410,027	\$14,466	-	\$424,492
Nelson Marlborough Institute of Technology	\$70,443	-	-	\$70,443
Northland Polytechnic	\$45,029	\$1,565	-	\$46,595
Otago Polytechnic	\$413,322	\$18,525	\$56,120	\$487,967
Whitireia Community Polytechnic	\$52,474	\$4,773	-	\$57,247
Waikato Institute of Technology	\$285,615	\$56,432	\$93,030	\$435,077
Open Polytechnic of New Zealand	\$144,242	\$64,985	-	\$209,227
Christchurch College of Education	\$171,577	\$6,803	-	\$178,380
Dunedin College of Education	\$55,829	\$6,074	-	\$61,903
The University of Auckland	\$33,443,196	\$11,753,204	\$17,533,849	\$62,730,248
The University of Waikato	\$7,896,033	\$1,707,052	\$3,693,500	\$13,296,584
Massey University	\$18,017,865	\$4,015,882	\$8,977,919	\$31,011,666
Victoria University of Wellington	\$12,049,109	\$1,897,384	\$4,883,820	\$18,830,313
University of Canterbury	\$12,946,683	\$1,750,107	\$5,748,401	\$20,445,190
Lincoln University	\$3,861,572	\$1,886,049	\$1,288,303	\$7,035,924
University of Otago	\$27,702,791	\$7,192,092	\$7,199,552	\$42,094,435
Auckland University of Technology	\$3,390,225	\$436,671	\$1,610,426	\$5,437,322
Te Wānanga o Aotearoa	\$134,235	\$9,436	-	\$143,670
Te Whare Wānanga o Awanuiārangi	\$164,620	\$5,120	\$32,391	\$202,132
Whitecliffe College of Arts and Design	\$35,389	-	\$106,213	\$141,603
AIS St Helens	\$18,305	-	-	\$18,305
Laidlaw College	\$21,356	\$1,449	\$71,939	\$94,743
Bethlehem Institute of Education	\$18,305	\$7,030	-	\$25,335
Good Shepherd College	\$18,305	-	-	\$18,305
Carey Baptist College	\$42,711	-	-	\$42,711
Anamata	\$10,677	\$34,468	-	\$45,145
Grand total	\$123,786,160	\$30,959,040	\$51,577,567	\$206,322,767

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