



Tertiary Education Commission  
Te Amorangi Mātauranga Matua

## Performance-Based Research Fund

ANNUAL REPORT  
2009



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## Introduction and contents

### CONTENT OF THIS REPORT

The PBRF 2009 annual report provides information about:

- final funding allocations for 2009
- indicative funding allocations for 2010
- the three PBRF measures and how they relate to the allocation of funding
- the latest results for the research degree completions (RDC) and external research income (ERI) measures, incorporating data from the years 2005-2008.

### CHAPTER OUTLINE

- Chapter 1 gives a brief overview of how the PBRF funding process works and of funding for 2009 and 2010.
- Chapter 2 outlines the Quality Evaluation measure, the final funding allocated against this measure in 2009, and the indicative funding allocated in 2010.
- Chapter 3 outlines the ERI measure, the final funding allocated against this measure in 2009, and the indicative funding allocated in 2010.
- Chapter 4 outlines the RDC measure, the final funding allocated against this measure in 2009, and the indicative funding allocated in 2010.
- Appendix A contains additional statistical information relating to the RDC measure for 2009 final funding.
- Appendix B contains additional statistical information relating to the RDC measure for 2010 indicative funding.



# Chapter 1

## Overview

### Introduction

#### Fund background

1. The primary goal of the Performance-Based Research Fund (PBRF) is to encourage and reward excellent research in New Zealand's tertiary education sector. This involves assessing the quality of research carried out by degree-granting tertiary education organisations (TEOs) - and their wholly-owned subsidiaries - and funding them on the basis of their research performance.<sup>1</sup>
2. The PBRF considers the quality of research already being carried out by researchers working in their own fields at eligible TEOs, rather than quantity of research outputs or the particular nature of the research. The purpose of the PBRF is not to provide funding for research projects, but to reward research excellence and support TEOs to provide an environment that produces research of a high quality. One of the key reasons for taking this approach is to ensure that degree-level teaching is underpinned by high quality research activities.
3. The Tertiary Education Commission Te Amorangi Mātauranga Matua (TEC) manages the PBRF, which has grown since its introduction to \$250 million a year in 2010.<sup>2</sup> The original funding that allowed the creation of the PBRF came from existing Vote Education research funding paid as a top-up to Student Component Funding to support the delivery of postgraduate courses.

#### Participants

4. A total of 45 tertiary education organisations (TEOs) were eligible for PBRF funding in 2009 and 2010. Of this group, 27 participated in the measures that form the PBRF. These participants include all eight of New Zealand's universities, ten of the 17 eligible institutes of technology and polytechnics (ITPs), two of the three eligible wānanga, and seven of the 17 eligible private training establishments (PTEs).

#### Components

5. The PBRF has three components: a periodic Quality Evaluation measure; a Research Degree Completions (RDC) measure; and an External Research Income (ERI) measure. In the PBRF funding formula, these three components are weighted 60 percent, 25 percent and 15 percent respectively.
6. Quality Evaluation rounds were held in 2003 and 2006, and a third round will be held in 2012. The RDC and ERI measures are calculated annually using weighted three-year averages. Each TEO's share of funding for each of these three components is determined by its performance relative to other participating TEOs.

#### The 2012 Quality Evaluation and beyond

7. In preparation for the 2012 Quality Evaluation, further consultation with the sector was undertaken during 2008-2010 and new Guidelines were published by the TEC on 30 June 2010.
8. The PBRF was reviewed following both the 2003 and 2006 Quality Evaluation rounds. Following the 2012 Quality Evaluation, a review of the PBRF will be held by the Ministry of Education. This review will consider whether the PBRF has achieved its longer-term aims.

1 Industry Training Organisations (ITOs) are not eligible for PBRF funding.

2 All funding figures in this report are GST exclusive and by calendar year, unless otherwise stated.

## Applying the funding formulae

9. Indicative PBRF funding allocations are made before the funding year starts, usually around November. These indicative allocations are based on TEOs' performance against each of the three PBRF measures and the funding pool size. This is measured using the most up-to-date information available for each measure at the time funding is calculated.
10. Participating TEOs receive monthly PBRF payments through the tertiary education funding system, with each monthly payment normally being of an equal amount. A final 'wash-up' funding adjustment for each year is then made in around June of the following year. This is based on final information received from TEOs and takes into account any changes in a TEO's overall PBRF entitlement. Wash-up adjustments may be credits or debits.
11. The amount of a TEO's final PBRF entitlement may differ from its indicative allocation due to a range of factors, including the following:
  - The size of the PBRF pool may change between the indicative allocation and the wash-up.
  - 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 overall number of RDC or amount of ERI may increase or decrease, affecting the proportion of funding available to each TEO.



## 2009 final funding allocations

12. A total of \$238.7 million of PBRF funding was allocated for 2009, as shown in Table 1.1.

**Table 1.1: 2009 final PBRF funding allocations (GST exclusive)**

TEO	Quality Evaluation	External Research Income	Research Degree Completions	Total Funding
University of Auckland	\$38,687,782	\$13,159,165	\$17,952,070	<b>\$69,799,017</b>
University of Otago (inc. Dunedin College of Education)	\$32,111,749	\$8,031,620	\$10,479,672	<b>\$50,623,041</b>
Massey University	\$20,843,440	\$4,553,416	\$9,953,870	<b>\$35,350,726</b>
University of Canterbury (inc. Christchurch College of Education)	\$15,175,475	\$2,432,052	\$7,105,856	<b>\$24,713,383</b>
Victoria University of Wellington	\$13,938,659	\$2,642,736	\$4,905,701	<b>\$21,487,096</b>
University of Waikato	\$9,134,295	\$1,826,897	\$4,289,982	<b>\$15,251,174</b>
Lincoln University	\$4,467,147	\$2,019,161	\$2,111,036	<b>\$8,597,344</b>
Auckland University of Technology	\$3,921,882	\$750,737	\$1,747,509	<b>\$6,420,128</b>
Unitec New Zealand	\$2,225,774	\$127,136	\$419,245	<b>\$2,772,155</b>
Waikato Institute of Technology	\$330,406	\$46,481	\$263,376	<b>\$640,263</b>
Otago Polytechnic	\$478,139	\$20,207	\$95,517	<b>\$593,863</b>
Manukau Institute of Technology	\$474,327	\$10,468	-	<b>\$484,795</b>
Christchurch Polytechnic Institute of Technology	\$359,063	\$64,774	-	<b>\$423,837</b>
Whitecliffe College of Arts and Design	\$40,939	-	\$241,814	<b>\$282,753</b>
Te Whare Wānanga o Awanuiārangi	\$190,437	\$23,487	\$65,290	<b>\$279,214</b>
Open Polytechnic of New Zealand	\$166,862	\$45,826	-	<b>\$212,688</b>
Te Wānanga o Aotearoa	\$155,286	\$1,537	-	<b>\$156,823</b>
Eastern Institute of Technology	\$152,462	\$1,686	-	<b>\$154,148</b>
Nelson Marlborough Institute of Technology	\$81,490	-	-	<b>\$81,490</b>
Whitireia Community Polytechnic	\$60,703	\$16,534	-	<b>\$77,237</b>
Laidlaw College	\$24,705	\$440	\$35,063	<b>\$60,208</b>
Northland Polytechnic	\$52,091	\$2,775	-	<b>\$54,866</b>
Carey Baptist College	\$49,409	\$381	-	<b>\$49,790</b>
Bethlehem Institute of Education		\$6,919	-	<b>\$28,094</b>
Anamata	\$12,352	\$15,166	-	<b>\$27,518</b>
AIS St Helens	\$21,175	-	-	<b>\$21,175</b>
Good Shepherd College	\$21,175	-	-	<b>\$21,175</b>
<b>Total</b>	<b>\$143,198,399</b>	<b>\$35,799,601</b>	<b>\$59,666,001</b>	<b>\$238,664,001</b>

13. All 27 PBRF-participating TEOs received funding through the Quality Evaluation measure in 2009. A total of \$143.2 million of PBRF funding was allocated between TEOs in 2009 based on 2006 Quality Evaluation scores.
14. For 2009, \$35.8 million was available for ERI funding allocations, which were based on a weighted average derived from 2005-2007 performance. Twenty-three TEOs declared ERI totalling \$912.5 million during this period. This resulted in a weighted average of \$294.6 million, which was used to calculate and allocate 2009 funding between TEOs.
15. A total of \$59.7 million was available for allocation through the RDC measure in 2009, based on 2005-2007 performance. Fourteen TEOs were eligible to receive PBRF funding through this PBRF measure for 2009, declaring a total of 7,675 RDC over the 2005-2007 period. Of these completions 5,424 were Masters courses, and 2,032 were Doctorates. The remaining 219 RDCs were PBRF-eligible Postgraduate Diplomas and Honours courses.
16. Figure 1.1 and 1.2 show the funding allocated against the three measures for universities and other TEOs in 2009.

**Figure 1.1: Universities 2009 PBRF funding by measure**

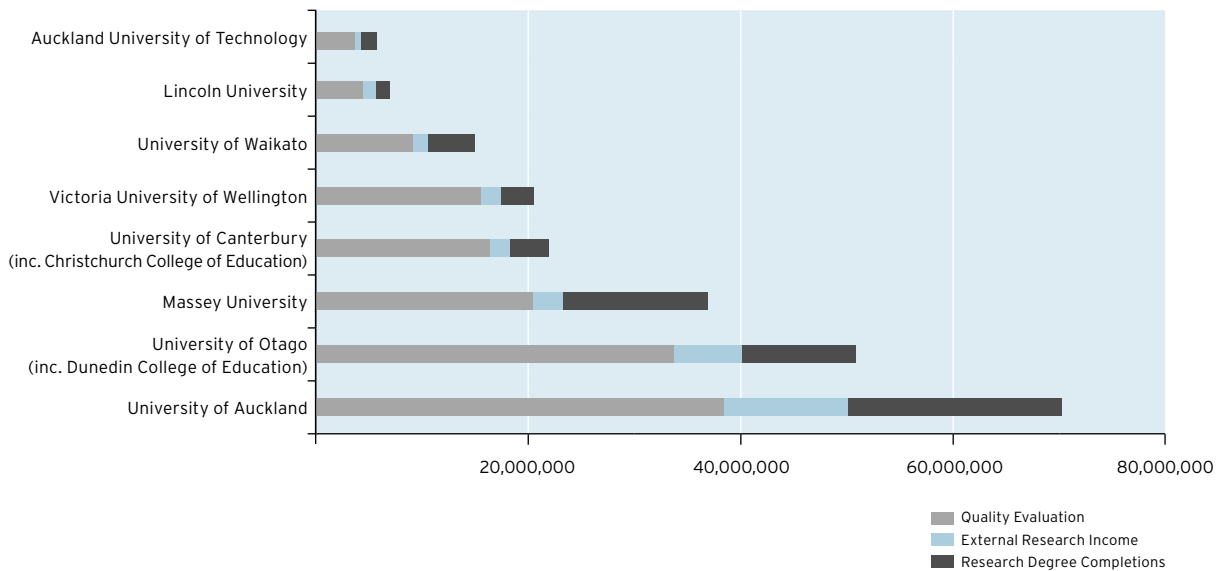
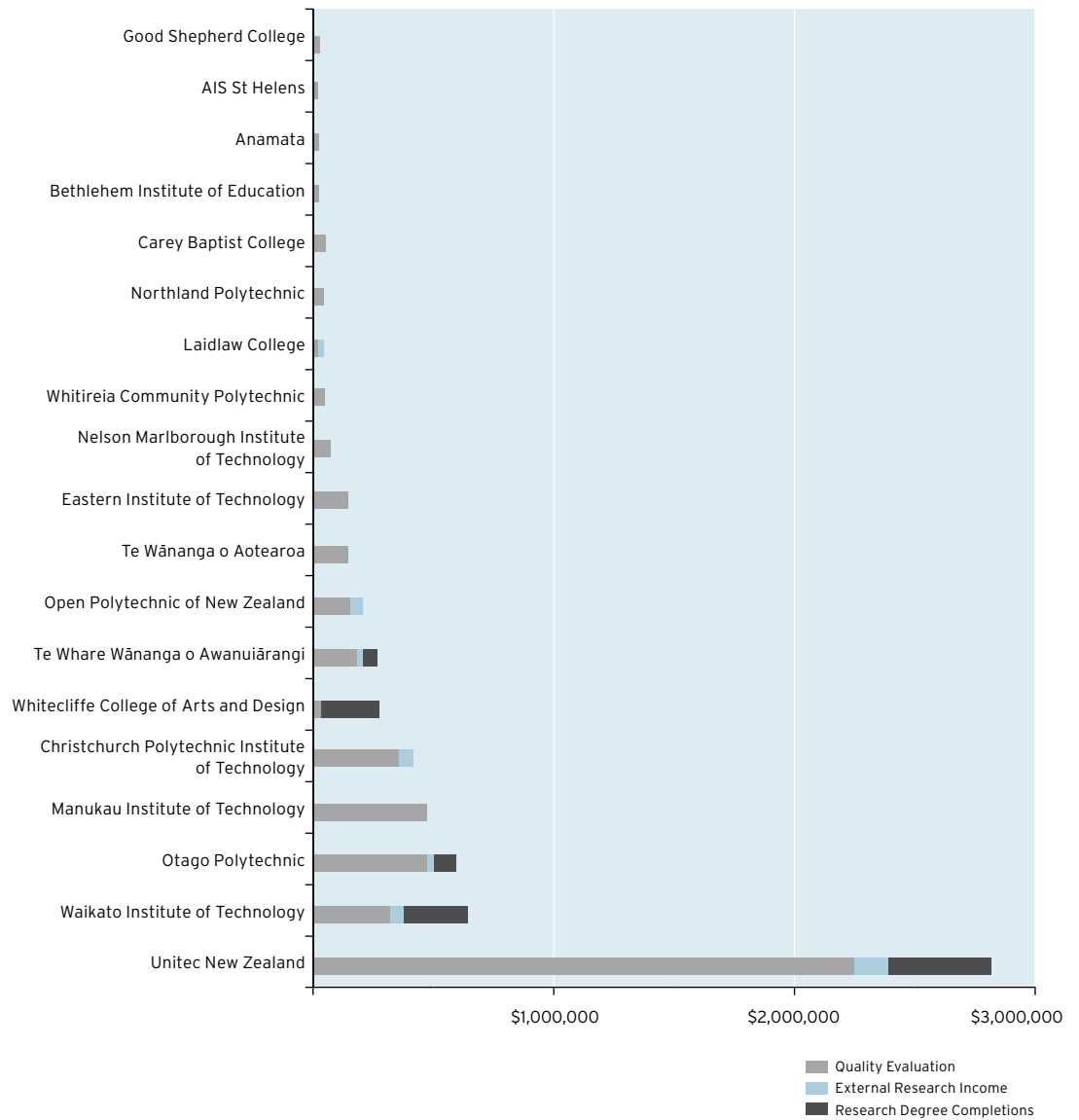


Figure 1.2: Other TEOs 2009 PBRF funding by measure



## 2010 indicative funding allocations

17. A total of \$246.5 million of indicative PBRF funding was allocated in the 2010 funding year, as shown in Table 1.2.

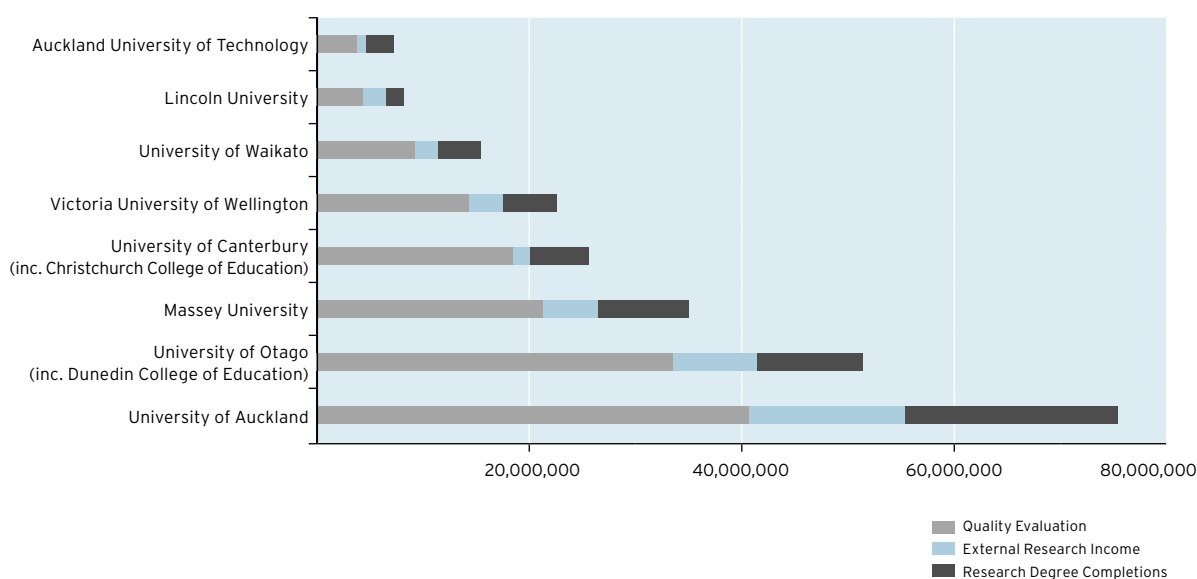
**Table 1.2: PBRF indicative funding 2010 (GST exclusive)**

TEO	Quality Evaluation	External Research Income	Research Degree Completions	Total Funding
University of Auckland	\$40,525,364	\$13,845,266	\$19,452,172	<b>\$73,822,802</b>
University of Otago (inc. Dunedin College of Education)	\$33,636,984	\$8,585,135	\$9,488,167	<b>\$51,710,286</b>
Massey University	\$21,833,456	\$4,632,811	\$8,372,126	<b>\$34,838,393</b>
University of Canterbury (inc. Christchurch College of Education)	\$15,896,276	\$2,608,729	\$7,058,150	<b>\$25,563,155</b>
Victoria University of Wellington	\$14,600,714	\$2,891,073	\$5,261,331	<b>\$22,753,118</b>
University of Waikato	\$9,568,154	\$1,788,471	\$4,107,382	<b>\$15,464,007</b>
Lincoln University	\$4,679,326	\$2,096,447	\$1,544,193	<b>\$8,319,966</b>
Auckland University of Technology	\$4,108,163	\$723,160	\$2,555,558	<b>\$7,386,881</b>
Unitec New Zealand	\$2,331,493	\$154,454	\$377,879	<b>\$2,863,826</b>
Otago Polytechnic	\$500,849	\$15,945	\$327,359	<b>\$844,153</b>
Waikato Institute of Technology	\$346,099	\$29,379	\$235,943	<b>\$611,421</b>
Manukau Institute of Technology	\$496,857	\$7,183	-	<b>\$504,040</b>
Christchurch Polytechnic Institute of Technology	\$376,118	\$48,189	-	<b>\$424,307</b>
Te Whare Wānanga o Awanuiārangi	\$199,482	\$17,853	\$55,679	<b>\$273,014</b>
Eastern Institute of Technology	\$159,704	\$6,048	\$24,009	<b>\$189,761</b>
Open Polytechnic of New Zealand	\$174,787	\$19,207	-	<b>\$193,994</b>
Whitecliffe College of Arts and Design	\$42,883	-	\$140,579	<b>\$183,462</b>
Te Wānanga o Aotearoa	\$162,661	-	-	<b>\$162,661</b>
Nelson Marlborough Institute of Technology	\$85,360	-	-	<b>\$85,360</b>
Whitireia Community Polytechnic	\$63,586	\$13,152	-	<b>\$76,738</b>
Northland Polytechnic	\$54,566	\$7,065	-	<b>\$61,631</b>
Carey Baptist College	\$51,756	\$252	-	<b>\$52,008</b>
Laidlaw College	\$25,878	\$24	\$24,483	<b>\$50,385</b>
Bethlehem Institute of Education	\$22,181	\$7,081	-	<b>\$29,262</b>
AIS St Helens	\$22,181	-	-	<b>\$22,181</b>
Good Shepherd College	\$22,181	-	-	<b>\$22,181</b>
Anamata	\$12,939	\$3,075	-	<b>\$16,014</b>
<b>Total</b>	<b>\$149,999,998</b>	<b>\$37,499,999</b>	<b>\$59,025,010</b>	<b>\$246,525,007</b>

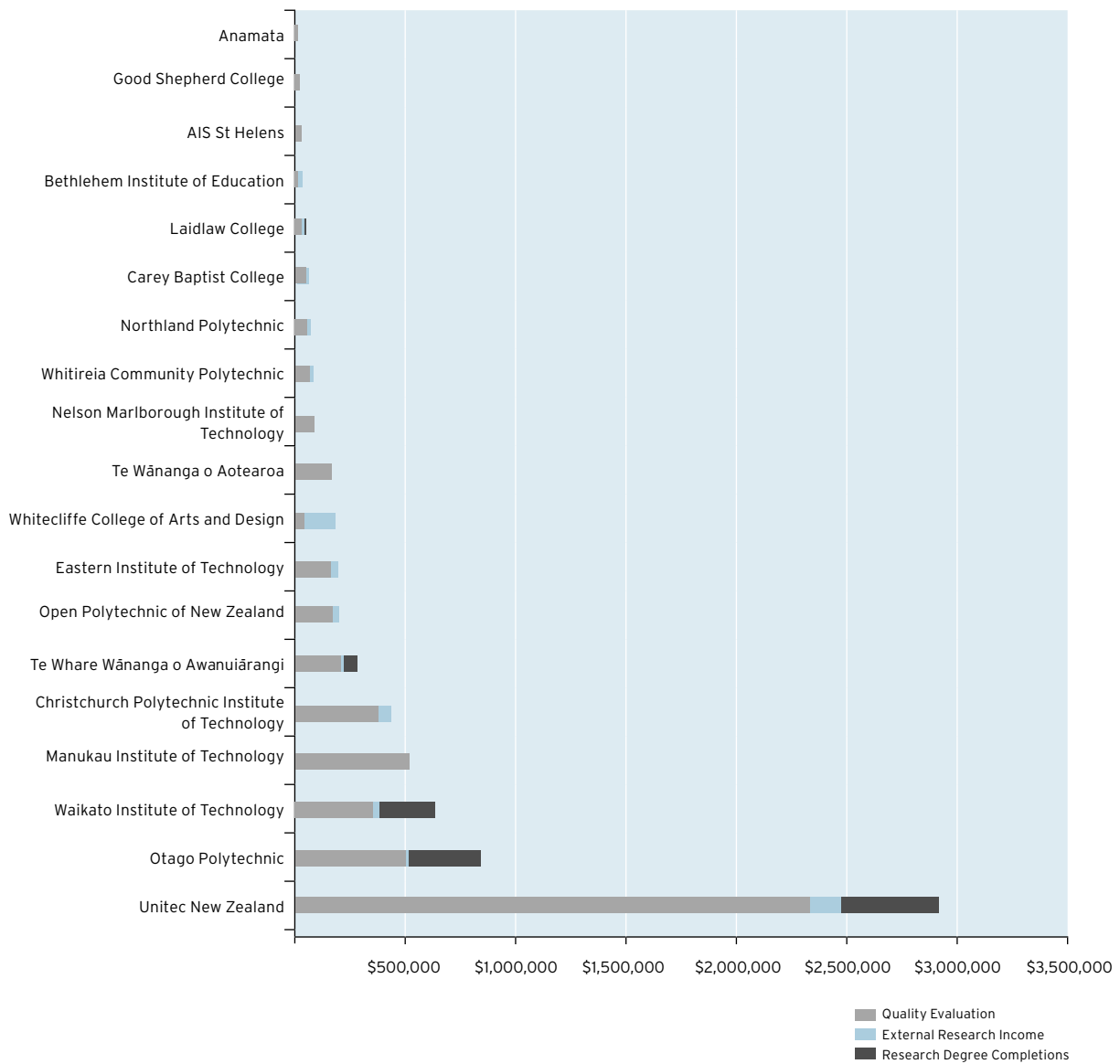
18. All 27 PBRF-participating TEOs received funding through the Quality Evaluation measure in 2010, which used scores from the 2006 Quality Evaluation. For 2010, \$150 million of indicative funding has been allocated on these scores.

19. For 2010, \$37.5 million was available for ERI indicative funding allocations, which were based on a weighted average resulting from 2006-2008 performance. The ERI generated by the 22 TEOs that lodged returns for these years totalled \$998.8 million. This resulted in a weighted average of \$344.5 million, which was used to allocate the available funding between TEOs.
20. A total \$62.5 million was available for RDC indicative allocations for 2010, based on 2006-2008 performance, of which \$59 million was allocated (see Chapter 4). Fifteen TEOs were eligible to receive indicative RDC funding for 2010, with Eastern Institute of Technology being eligible to receive funding through this measure for the first time. A total of 7,777 RDCs were declared over the 2006-2008 period. Of these completions 5,334 were Masters courses, and 2,095 were Doctorates. The remaining 348 RDCs were PBRF-eligible Postgraduate Diplomas and Honours courses.
21. Figures 1.3 and 1.4 show the proportion of indicative funding allocated against the three measures for universities and other TEOs in 2010.

**Figure 1.3: Universities 2010 indicative PBRF funding by measure**



**Figure 1.4: Other TEOs 2010 indicative PBRF funding by measure**



## Comparison of 2009 and 2010 funding allocations

**22.** Comparing 2009 final and 2010 indicative PBRF funding allocations reveals the following:

- Universities received the largest share of PBRF funding in both years. Overall, universities received 97.31 percent of PBRF funding in 2009 final and 97.30 percent in 2010 indicative funding allocations.
- The relative distribution of funding between universities is very similar in 2009 and 2010.
- Together, the University of Auckland and the University of Otago received just over 50 percent of available funding in both 2009 and 2010.
- The University of Auckland received the most funding against all three measures for both years. It received 29.25 percent of total PBRF funding in 2009 and 29.95 percent in 2010 indicative allocations.
- The number of TEOs receiving funding through the ERI measure has fallen slightly, but the relative share of ERI funding received by universities has remained very similar.
- The overall amount of ERI declared has risen each year, from \$286 million in 2005 to \$372.3 million in 2008.
- Eastern Institute of Technology started to receive RDC-based funding for the first time in 2010.

**23.** Table 1.3 compares 2009 final and 2010 indicative funding allocations and reveals a range of changes in funding across TEOs. However, it should be noted that 2010 allocations are indicative only and that these figures may change when 2010 funding is confirmed.

**Table 1.3: 2009 final funding compared to 2010 indicative funding**

TEO	2009 Funding	2010 Indicative Funding	Change (\$)	Change (%)
University of Auckland	\$69,799,017	\$73,822,802	\$4,023,785	5.76%
University of Otago (inc. Dunedin College of Education)	\$50,623,041	\$51,710,286	\$1,087,245	2.15%
Massey University	\$35,350,726	\$34,838,393	<b>(\$512,333)</b>	-1.45%
University of Canterbury (inc. Christchurch College of Education)	\$24,713,383	\$25,563,155	\$849,772	3.44%
Victoria University of Wellington	\$21,487,096	\$22,753,118	\$1,266,022	5.89%
University of Waikato	\$15,251,174	\$15,464,007	\$212,833	1.40%
Lincoln University	\$8,597,344	\$8,319,966	<b>(\$277,378)</b>	-3.23%
Auckland University of Technology	\$6,420,128	\$7,386,881	\$966,753	15.06%
Unitec New Zealand	\$2,772,155	\$2,863,826	\$91,671	3.31%
Otago Polytechnic	\$593,863	\$844,153	\$250,290	42.15%
Waikato Institute of Technology	\$640,263	\$611,421	<b>(\$28,842)</b>	-4.50%
Manukau Institute of Technology	\$484,795	\$504,040	\$19,245	3.97%
Christchurch Polytechnic Institute of Technology	\$423,837	\$424,307	\$470	0.11%
Te Whare Wānanga o Awanuiārangi	\$282,753	\$273,014	<b>(\$9,739)</b>	-3.44%
Eastern Institute of Technology	\$154,148	\$189,761	\$35,613	23.10%
Open Polytechnic of New Zealand	\$212,688	\$193,994	<b>(\$18,694)</b>	-8.79%
Whitecliffe College of Arts and Design	\$282,753	\$183,462	<b>(\$99,291)</b>	-35.12%
Te Wānanga o Aotearoa	\$156,823	\$162,661	\$5,838	3.72%
Nelson Marlborough Institute of Technology	\$81,490	\$85,360	\$3,870	4.75%
Whitireia Community Polytechnic	\$77,237	\$76,738	<b>(\$499)</b>	-0.65%
Northland Polytechnic	\$54,866	\$61,631	\$6,765	12.33%
Carey Baptist College	\$49,790	\$52,008	\$2,218	4.45%
Laidlaw College	\$60,208	\$50,385	<b>(\$9,823)</b>	-16.32%
Bethlehem Institute of Education	\$28,094	\$29,262	\$1,168	4.16%
AIS St Helens	\$21,175	\$22,181	\$1,006	4.75%
Good Shepherd College	\$21,175	\$22,181	\$1,006	4.75%
Anamata	\$27,518	\$16,014	<b>(\$11,504)</b>	-41.81%
<b>Total</b>	<b>\$238,667,540</b>	<b>\$246,525,007</b>	<b>\$7,857,467</b>	<b>3.29%</b>



## Universities

- 24.** Six universities have increased their PBRF funding between these two years, while two have a decrease in funding. These positive changes are relatively small, in a range of 1-6 percent, with the exception of Auckland University of Technology, which has a 15.06 percent increase in funding between 2009 and indicative 2010 allocations. Massey University saw a 1.45 percent decrease in its allocation, while Lincoln's decreased by 3.23 percent. These changes are discussed further in Chapter 4.
- 25.** Given the large proportion of funding received by universities, these small percentage changes are significant in terms of dollars, with \$7.6 million of additional PBRF funding going to the universities. This represents 97 percent of the new funding allocated from the PBRF pool in 2010 compared with 2009.

## ITPs

- 26.** For ITPs, the most significant changes in funding between 2009 and 2010 are a 42.15 percent increase for Otago Polytechnic and a 23.1 percent increase for Eastern Institute of Technology. Other ITPs maintained similar levels of funding across the two years, with some small variations. The most significant changes were a 4.5 percent reduction in funding for Waikato Institute of Technology and an 8.79 percent reduction for the Open Polytechnic of New Zealand. In both cases, these changes were due to reduced performance against the ERI measure and, for Waikato Institute of Technology, against the RDC measure.

## Other providers

- 27.** For other providers, including two wānanga and seven private training establishments, there were some significant percentage shifts. However the funding impact was less than \$15,000 in all cases, with the exception of Whitecliffe College of Arts and Design, which has a reduction of \$99,291 between the two years, 35 percent of its total PBRF funding. This change results from performance against the RDC measure.
- 28.** The 2010 Annual report will look again at these figures, which are likely to change to some degree once 2010 funding is confirmed through the wash-up process.



## Chapter 2

### The Quality Evaluation measure

#### Introduction

29. The Quality Evaluation measure accounts for 60 percent of the total funds allocated through the PBRF each year. The Quality Evaluation process uses expert peer-review panels to assess research quality based on material contained in individual researchers' Evidence Portfolios. Previous Quality Evaluations were held in 2003 and 2006, and the scores from the latter are currently used in the funding calculation. The next Quality Evaluation will be held in 2012.<sup>3</sup>
30. Funding in relation to the Quality Evaluation is based on:
- quality categories assigned to Evidence Portfolios (EPs)
  - funding weightings for the subject area to which EPs have been assigned; and
  - Full-Time Equivalent (FTE) status PBRF-eligible staff as at the date of the PBRF Census (with the qualifications as outlined below in the section "FTE status of staff").

#### Funding formula for Quality Evaluation measure

31. The funding formula for the proportion of the quality measure allocated to each TEO is:

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

#### Quality categories

32. 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 2.1.

**Table 2.1: Quality category weighting**

Quality Category	Quality Weighting
A	5
B	3
C	1
C (NE)	1
R	0
R (NE)	0

<sup>3</sup> The 2012 PBRF Quality Evaluation Guidelines provide detailed information about the Quality Evaluation process for 2012.

## Funding weighting for subject areas

33. 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 2.2.

**Table 2.2: 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

34. 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, as follows:
- When staff were concurrently employed at two TEOs during the year before the Census date in 2006, 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 (for example 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 allocations for 2009 and 2010

35. Table 2.3 sets out the allocation of final funding in 2009 and indicative funding in 2010, based on the Quality Evaluation scores from 2006. Since the ratios used for this measure are unchanged since 2006, the relative performance of TEOs has not changed for this PBRF measure.

**Table 2.3: Final funding in 2009 and indicative funding in 2010 based on Quality Evaluation measure**

TEO	Total	Ratio (unrounded)	2009	2010	Funding increase 2009 → 2010
University of Auckland	5,481	27.0169%	\$38,687,782	\$40,525,364	\$1,837,582
University of Otago	4,540	22.3796%	\$32,047,164	\$33,569,332	\$1,522,168
Massey University	2,953	14.5556%	\$20,843,440	\$21,833,456	\$990,016
University of Canterbury	2,122	10.4589%	\$14,976,992	\$15,688,365	\$711,373
Victoria University of Wellington	1,975	9.7338%	\$13,938,659	\$14,600,714	\$662,055
University of Waikato	1,294	6.3788%	\$9,134,295	\$9,568,154	\$433,859
Lincoln University	633	3.1196%	\$4,467,147	\$4,679,326	\$212,179
Auckland University of Technology	556	2.7388%	\$3,921,882	\$4,108,163	\$186,281
Unitec New Zealand	315	1.5543%	\$2,225,774	\$2,331,493	\$105,719
Otago Polytechnic	68	0.3339%	\$478,139	\$500,849	\$22,710
Manukau Institute of Technology	67	0.3312%	\$474,327	\$496,857	\$22,530
Christchurch Polytechnic Institute of Technology	51	0.2507%	\$359,063	\$376,118	\$17,055
Waikato Institute of Technology	47	0.2307%	\$330,406	\$346,099	\$15,693
Christchurch College of Education	28	0.1386%	\$198,483	\$207,911	\$9,428
Te Whare Wānanga o Awanuiārangi	27	0.1330%	\$190,437	\$199,482	\$9,045
Open Polytechnic of New Zealand	24	0.1165%	\$166,862	\$174,787	\$7,925
Te Wānanga O Aotearoa	22	0.1084%	\$155,286	\$162,661	\$7,375
Eastern Institute of Technology	22	0.1065%	\$152,462	\$159,704	\$7,242
Nelson Marlborough Institute of Technology	12	0.0569%	\$81,490	\$85,360	\$3,870
Dunedin College of Education	9	0.0451%	\$64,585	\$67,652	\$3,067
Whitireia Community Polytechnic	9	0.0424%	\$60,703	\$63,586	\$2,883
Northland Polytechnic	7	0.0364%	\$52,091	\$54,566	\$2,475
Carey Baptist College	7	0.0345%	\$49,409	\$51,756	\$2,347
Whitecliffe College of Arts and Design	6	0.0286%	\$40,939	\$42,883	\$1,944
Laidlaw College	4	0.0173%	\$24,705	\$25,878	\$1,173
AIS St Helens	3	0.0148%	\$21,175	\$22,181	\$1,006
Bethlehem Institute of Education	3	0.0148%	\$21,175	\$22,181	\$1,006
Good Shepherd College	3	0.0148%	\$21,175	\$22,181	\$1,006
Anamata	2	0.0086%	\$12,352	\$12,939	\$587
<b>Total</b>	<b>20,288</b>	<b>100.0000%</b>	<b>\$143,198,399</b>	<b>\$149,999,998</b>	<b>\$6,801,599</b>

36. The Quality Evaluation component of the PBRF pool grew by \$6.8 million between 2009 and 2010, creating a 4.75 percent increase to the allocations of all 27 participating TEOs. As the pool is allocated according to ratios that determine a percentage share of the pool, these increases varied widely in dollar terms, ranging from \$587 to \$1.8 million.
37. Based on the 2006 Quality Evaluation scores, universities receive 96.38 percent of funding against this measure. This equates to \$138 million and \$144.8 million respectively. Other TEOs together receive 3.44 percent of the final funding allocated through this measure. This equates to \$4.9 million in 2009 and \$5.2 million in 2010.
38. The 2012 Quality Evaluation will provide a new picture of the performance of TEOs, and update the ratios for the allocation of this measure.

## Chapter 3

### External research income

#### Introduction

39. The external research income (ERI) measure accounts for 15 percent of the total funds allocated through the PBRF each year. ERI is included as a performance measure 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.
40. ERI is defined as the total research income received by a TEO (and/or any wholly-owned subsidiary), excluding income from:
- TEO employees who receive external research income in their personal capacity (i.e. the external research income is received by them and not their employer)
  - controlled trusts
  - partnerships
  - joint ventures.
41. Only income for work that has actually been undertaken may be included in the ERI calculation. A complete description of inclusions and exclusions is given in the PBRF Guidelines 2006 (Chapter Five) along with guidance on the status of joint or collaborative research.
42. TEOs that participate in the ERI measure submit returns to the TEC showing the amount of PBRF-eligible ERI they have earned. 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, as well as an independent audit opinion, is provided to the TEC to support each ERI calculation. If the total ERI is less than \$200,000, the TEO is permitted to submit its worksheets in lieu of an independent audit opinion.

#### Funding formula for external research income measure

43. The ERI measure is calculated as a weighted three-year rolling average. The formula used to calculate the ERI measure for 2009 is:

$$\frac{\sum [(ERI \text{ for TEO } 2005 \times 0.15) + (ERI \text{ for TEO } 2006 \times 0.35) + (ERI \text{ for TEO } 2007 \times 0.5)]}{\sum [(Total \text{ ERI for all TEOs } 2005 \times 0.15) + (Total \text{ ERI for all TEOs } 2006 \times 0.35) + (Total \text{ ERI for all TEOs } 2007 \times 0.5)]} \times \text{total amount of funding available for the ERI component of the PBRF}$$

44. The formula used to calculate the ERI measure for 2010 is:

$$\frac{\sum [(ERI \text{ for TEO } 2006 \times 0.15) + (ERI \text{ for TEO } 2007 \times 0.35) + (ERI \text{ for TEO } 2008 \times 0.5)]}{\sum [(Total \text{ ERI for all TEOs } 2006 \times 0.15) + (Total \text{ ERI for all TEOs } 2007 \times 0.35) + (Total \text{ ERI for all TEOs } 2008 \times 0.5)]} \times \text{total amount of funding available for the ERI component of the PBRF}$$

### ERI declared for 2009 funding calculation

45. In 2005-2007, the total ERI declared by the 23 TEOs participating in the ERI measure was \$912.5 million.<sup>4</sup> Table 3.1 shows the ERI declared in each of these three years, the changes from year-to-year, and the weighted three-year averages used to allocate PBRF funding for this measure.

**Table 3.1: External research income 2005 to 2007 (GST exclusive)**

TEO	2005	Change 2005 -> 2006	2006	Change 2006 -> 2007	2007	PBRF-weighted total
University of Auckland	\$106,147,979	7.26%	\$113,859,434	2.48%	\$116,683,274	<b>\$114,114,636</b>
University of Otago	\$67,404,653	<b>(0.37%)</b>	\$67,152,313	7.29%	\$72,047,118	<b>\$69,637,567</b>
Massey University	\$36,392,947	4.52%	\$38,039,685	8.91%	\$41,427,653	<b>\$39,486,658</b>
Victoria University of Wellington	\$18,406,557	26.38%	\$23,262,412	3.30%	\$24,029,305	<b>\$22,917,480</b>
University of Canterbury	\$17,407,993	17.25%	\$20,411,518	11.07%	\$22,670,439	<b>\$21,090,450</b>
Lincoln University	\$16,354,761	<b>(0.23%)</b>	\$16,317,474	14.55%	\$18,691,168	<b>\$17,509,914</b>
University of Waikato	\$15,592,836	<b>(2.29%)</b>	\$15,236,406	7.26%	\$16,341,904	<b>\$15,842,620</b>
Auckland University of Technology	\$4,824,164	43.48%	\$6,921,828	<b>(2.80%)</b>	\$6,728,068	<b>\$6,510,298</b>
Unitec New Zealand	\$602,563	4.72%	\$631,030	150.78%	\$1,582,521	<b>\$1,102,505</b>
Christchurch Polytechnic Institute of Technology	\$247,935	19.56%	\$296,441	183.88%	\$841,540	<b>\$561,715</b>
Waikato Institute of Technology	\$585,279	<b>(13.96%)</b>	\$503,568	<b>(44.78%)</b>	\$278,074	<b>\$403,078</b>
Open Polytechnic of New Zealand	\$699,653	10.08%	\$770,174	<b>(94.06%)</b>	\$45,778	<b>\$397,398</b>
Te Whare Wānanga o Awanuiārangi	\$88,333	515.95%	\$544,085	<b>(100.00%)</b>	-	<b>\$203,680</b>
Otago Polytechnic	\$242,034	4.27%	\$252,366	<b>(59.90%)</b>	\$101,195	<b>\$175,231</b>
Whitireia Community Polytechnic	\$48,829	105.71%	\$100,444	100.91%	\$201,799	<b>\$143,379</b>
Anamata	\$437,363	<b>(56.94%)</b>	\$188,326	<b>(100.00%)</b>	-	<b>\$131,519</b>
Manukau Institute of Technology	\$193,919	<b>(75.09%)</b>	\$48,302	85.41%	\$89,559	<b>\$90,773</b>
Bethlehem Institute of Education	\$60,000	-	\$60,000	-	\$60,000	<b>\$60,000</b>
Northland Polytechnic	\$27,000	<b>(36.67%)</b>	\$17,099	64.12%	\$28,062	<b>\$24,066</b>
Eastern Institute of Technology	\$10,995	19.34%	\$13,121	27.77%	\$16,765	<b>\$14,624</b>
Te Wānanga o Aotearoa	\$88,834	<b>(100.00%)</b>	-	-	-	<b>\$13,325</b>
Dunedin College of Education	\$77,595	<b>(100.00%)</b>	-	-	-	<b>\$11,639</b>
Laidlaw College	\$22,000	<b>(93.34%)</b>	\$1,466	<b>(100.00%)</b>	-	<b>\$3,813</b>
Carey Baptist College	-	-	-	-	\$6,602	<b>\$3,301</b>
Christchurch College of Education	-	-	-	-	-	-
Nelson Marlborough Institute of Technology	-	-	-	-	-	-
Whitecliffe College of Arts and Design	-	-	-	-	-	-
AIS St Helens	-	-	-	-	-	-
Good Shepherd College	-	-	-	-	-	-
<b>Total</b>	<b>\$285,964,222</b>	<b>6.53%</b>	<b>\$304,627,492</b>	<b>5.66%</b>	<b>\$321,870,825</b>	<b>\$310,449,668</b>

<sup>4</sup> 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. ERI submitted by the former colleges of education has been reported separately.



46. The \$902.4 million ERI declared by universities formed just under 99 percent of the total in 2005, 2006, and 2007. The remaining TEOs reported just over 1 percent of the total ERI, totalling \$10.1 million over the three year period.
47. ERI reported by TEOs increased overall by 6.53 percent between 2005 and 2006, and by 5.66 percent between 2006 and 2007.

### ERI declared for 2010 indicative funding calculations

48. In 2006-2008, the total ERI declared by the 22 TEOs participating in the ERI measure was \$998.8 million. Table 3.2 shows the ERI declared in each of these three years, the changes from year-to-year, and the weighted three-year averages used to allocate PBRF funding for this measure.

**Table 3.2: External research income 2006 to 2008 (GST exclusive)**

TEO	2006	Change 2006 → 2007	2007	Change 2007 → 2008	2008	PBRF-weighted total
University of Auckland	\$113,859,434	2.48%	\$116,683,274	18.73%	\$138,540,191	<b>\$127,188,157</b>
University of Otago	\$67,152,313	7.29%	\$72,047,118	20.97%	\$87,154,298	<b>\$78,866,487</b>
Massey University	\$38,039,685	8.91%	\$41,427,653	7.91%	\$44,706,446	<b>\$42,558,854</b>
Victoria University of Wellington	\$23,262,412	3.30%	\$24,029,305	22.01%	\$29,317,878	<b>\$26,558,558</b>
University of Canterbury	\$20,411,518	11.07%	\$22,670,439	14.41%	\$25,936,887	<b>\$23,964,825</b>
Lincoln University	\$16,317,474	14.55%	\$18,691,168	9.88%	\$20,538,537	<b>\$19,258,798</b>
University of Waikato	\$15,236,406	7.26%	\$16,341,904	3.10%	\$16,848,972	<b>\$16,429,613</b>
Auckland University of Technology	\$6,921,828	<b>(2.80%)</b>	\$6,728,068	<b>(3.39%)</b>	\$6,500,276	<b>\$6,643,236</b>
Unitec New Zealand	\$631,030	150.78%	\$1,582,521	<b>(2.64%)</b>	\$1,540,671	<b>\$1,418,872</b>
Christchurch Polytechnic Institute of Technology	\$296,441	183.88%	\$841,540	<b>(75.36%)</b>	\$207,363	<b>\$442,687</b>
Waikato Institute of Technology	\$503,568	<b>(44.78%)</b>	\$278,074	<b>(30.21%)</b>	\$194,061	<b>\$269,892</b>
Open Polytechnic of New Zealand	\$770,174	<b>(94.06%)</b>	\$45,778	96.15%	\$89,795	<b>\$176,446</b>
Te Whare Wānanga o Awanuiārangi	\$544,085	<b>(100.00%)</b>	-	-	\$164,779	<b>\$164,002</b>
Otago Polytechnic	\$252,366	<b>(59.90%)</b>	\$101,195	44.69%	\$146,416	<b>\$146,481</b>
Whitireia Community Polytechnic	\$100,444	100.91%	\$201,799	<b>(65.19%)</b>	\$70,249	<b>\$120,821</b>
Anamata	\$188,326	<b>(100.00%)</b>	-	-	-	<b>\$28,249</b>
Manukau Institute of Technology	\$48,302	85.41%	\$89,559	<b>(38.83%)</b>	\$54,782	<b>\$65,982</b>
Bethlehem Institute of Education	\$60,000	-	\$60,000	16.83%	\$70,100	<b>\$65,050</b>
Northland Polytechnic	\$17,099	64.12%	\$28,062	274.28%	\$105,032	<b>\$64,903</b>
Eastern Institute of Technology	\$13,121	27.77%	\$16,765	469.37%	\$95,455	<b>\$55,563</b>
Te Wānanga o Aotearoa	-	-	-	-	-	-
Dunedin College of Education	-	-	-	-	-	-
Laidlaw College	\$1,466	<b>(100.00%)</b>	-	-	-	<b>\$220</b>

Table continued over

TEO	2006	Change 2006 -> 2007	2007	Change 2007 -> 2008	2008	PBRF-weighted total
Carey Baptist College	-	-	\$6,602	(100.00%)	-	\$2,311
Christchurch College of Education	-	-	-	-	-	-
Nelson Marlborough Institute of Technology	-	-	-	-	-	-
Whitecliffe College of Arts and Design	-	-	-	-	-	-
AIS St Helens	-	-	-	-	-	-
Good Shepherd College	-	-	-	-	-	-
<b>Total</b>	<b>\$304,627,492</b>	<b>5.66%</b>	<b>\$321,870,825</b>	<b>15.66%</b>	<b>\$372,282,188</b>	<b>\$344,490,007</b>

49. The \$989.4 million ERI declared by universities formed just over 99 percent of the total in 2006, 2007, and 2008. The remaining TEOs reported just under 1 percent of the total ERI, totalling \$9.4 million over the three year period.
50. ERI reported by TEOs increased overall by 5.66 percent between 2006 and 2007, and by 15.66 percent between 2007 and 2008.

## Comparison of 2009 and 2010 funding

51. Table 3.3 compares 2009 final funding with 2010 indicative funding for the ERI measure.

**Table 3.3: 2009 final funding based on ERI measure compared with 2010 indicative funding**

TEO	2009 Ratio	2009 Funding	2010 Ratio	2010 Funding	Ratio change 2009 -> 2010	Funding change 2009 -> 2010
University of Auckland	36.7579%	\$13,159,165	36.9207%	\$13,845,266	0.1629%	\$686,101
University of Otago	22.4312%	\$8,030,278	22.8937%	\$8,585,135	0.4625%	\$554,857
Massey University	12.7192%	\$4,553,416	12.3542%	\$4,632,811	<b>(0.3650%)</b>	\$79,395
Victoria University of Wellington	7.3820%	\$2,642,736	7.7095%	\$2,891,073	0.3275%	\$248,337
University of Canterbury	6.7935%	\$2,432,052	6.9566%	\$2,608,729	0.1631%	\$176,677
Lincoln University	5.6402%	\$2,019,161	5.5905%	\$2,096,447	<b>(0.0497%)</b>	\$77,286
University of Waikato	5.1031%	\$1,826,897	4.7693%	\$1,788,471	<b>(0.3339%)</b>	<b>(\$38,426)</b>
Auckland University of Technology	2.0971%	\$750,737	1.9284%	\$723,160	<b>(0.1686%)</b>	<b>(\$27,577)</b>
Unitec New Zealand	0.3551%	\$127,136	0.4119%	\$154,454	0.0567%	\$27,318
Christchurch Polytechnic Institute of Technology	0.1809%	\$64,774	0.1285%	\$48,189	<b>(0.0524%)</b>	<b>(\$16,585)</b>
Waikato Institute of Technology	0.1298%	\$46,481	0.0783%	\$29,379	<b>(0.0515%)</b>	<b>(\$17,102)</b>
Open Polytechnic of New Zealand	0.1280%	\$45,826	0.0512%	\$19,207	<b>(0.0768%)</b>	<b>(\$26,619)</b>
Te Whare Wānanga o Awanuiārangi	0.0656%	\$23,487	0.0476%	\$17,853	<b>(0.0180%)</b>	<b>(\$5,634)</b>
Otago Polytechnic	0.0564%	\$20,207	0.0425%	\$15,945	<b>(0.0139%)</b>	<b>(\$4,262)</b>
Whitireia Community Polytechnic	0.0462%	\$16,534	0.0351%	\$13,152	<b>(0.0111%)</b>	<b>(\$3,382)</b>
Anamata	0.0424%	\$15,166	0.0082%	\$3,075	<b>(0.0342%)</b>	<b>(\$12,091)</b>
Manukau Institute of Technology	0.0292%	\$10,468	0.0192%	\$7,183	<b>(0.0101%)</b>	<b>(\$3,285)</b>
Bethlehem Institute of Education	0.0193%	\$6,919	0.0189%	\$7,081	<b>(0.0004%)</b>	\$162
Northland Polytechnic	0.0078%	\$2,775	0.0188%	\$7,065	0.0111%	\$4,290
Eastern Institute of Technology	0.0047%	\$1,686	0.0161%	\$6,048	0.0114%	\$4,362
Te Wānanga o Aotearoa	0.0043%	\$1,537	0.0000%	\$0	<b>(0.0043%)</b>	<b>(\$1,537)</b>
Dunedin College of Education	0.0037%	\$1,342	0.0000%	\$0	<b>(0.0037%)</b>	<b>(\$1,342)</b>
Laidlaw College	0.0012%	\$440	0.0001%	\$24	<b>(0.0012%)</b>	<b>(\$416)</b>
Carey Baptist College	0.0011%	\$381	0.0007%	\$252	<b>(0.0004%)</b>	<b>(\$129)</b>
Christchurch College of Education	-	-	-	-	-	-
Nelson Marlborough Institute of Technology	-	-	-	-	-	-
Whitecliffe College of Arts and Design	-	-	-	-	-	-
AIS St Helens	-	-	-	-	-	-
Good Shepherd College	-	-	-	-	-	-
<b>Total</b>	<b>100.0000%</b>	<b>\$35,799,601</b>	<b>100.0000%</b>	<b>\$37,499,999</b>		<b>\$1,700,398</b>

### **Thirty percent increase 2005 to 2008**

52. ERI earned by TEOs increased from \$285.9 million in 2005 to \$372.3 million in 2008, which represents an increase of 30.2 percent.

### **Relative performance remains steady**

53. Despite this increase in total ERI declared, there was very little change in the relative performance of TEOs against this measure between the 2009 and 2010 funding years. The largest increase was just 0.46 percent (University of Otago), while the largest decrease was just 0.37 percent (Massey University).
54. While the University of Otago's allocation increased by the greatest percentage, the University of Auckland's increased the most in terms of funding. The largest reduction in funding for this measure was a \$38,426 reduction for Waikato University.

### **High performers**

55. The University of Auckland received around 37 percent of the funding available for this measure in both years. The University of Auckland and the University of Otago together received almost 50 percent of the funding available for this measure in both years.

### **Universities' relative performance**

56. While the University of Auckland, the University of Otago, Victoria University of Wellington, and the University of Canterbury all increased their share of the funding, the other four universities had a reduced share. However, as noted above, the largest percentage reduction was only 0.37 percent and the largest funding reduction was only \$38,426.

### **Other providers**

57. Outside of the universities, only Unitec, Northland Polytechnic, and Eastern Institute of Technology increased their share of the funding for this measure. All other TEOs saw reductions in their funding for this measure.

## Chapter 4

# Research degree completions

### Introduction

- 58.** 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 measure 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; and
  - 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.
- 59.** To be eligible for the RDC measure, research-based postgraduate degrees (for example 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 of the relevant year; and
  - the student has completed the course successfully.
- 60.** Since early 2010, the TEC and PBRF-participating TEOs have been working to reduce compliance costs and improve the transparency of the data underpinning the RDC measure. This work has led to:
- an agreed transition-path to using the SDR to count RDC, removing a manual corrections process
  - the introduction of agreed RDC business rules.
- 61.** 2009 PBRF allocations are the last to use RDC data that has been supplied using a manual process outside the SDR. 2011 indicative allocations have been calculated using RDC data directly extracted from the SDR, and 2010 funding wash-ups that are scheduled for July 2011 will also use this approach.

### Funding formula for research degree completions measure

- 62.** The RDC measure is calculated as a weighted three-year rolling average. The formula used to calculate the number of research degree completions for each TEO is:

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

63. The funding formula for the proportion of the RDC measure allocated to each TEO in 2009 is:

$$\frac{\Sigma [(RDC \text{ for TEO } 2005 \times 0.15) + (RDC \text{ for TEO } 2006 \times 0.35) + (RDC \text{ for TEO } 2007 \times 0.5)]}{\Sigma [(Total \text{ RDC for all TEOs } 2005 \times 0.15) + (Total \text{ RDC for all TEOs } 2006 \times 0.35) + (RDC \text{ for all TEOs } 2007 \times 0.5)]} \times \text{total amount of funding available for the RDC component of the PBRF}$$

64. The funding formula for the proportion of the RDC measure allocated to each TEO in 2010 is:

$$\frac{\Sigma [(RDC \text{ for TEO } 2006 \times 0.15) + (RDC \text{ for TEO } 2007 \times 0.35) + (RDC \text{ for TEO } 2008 \times 0.5)]}{\Sigma [(Total \text{ RDC for all TEOs } 2006 \times 0.15) + (Total \text{ RDC for all TEOs } 2007 \times 0.35) + (Total \text{ RDC for all TEOs } 2008 \times 0.5)]} \times \text{total amount of funding available for the RDC component of the PBRF}$$

### Funding formula and allocations

65. The funding formula for the RDC component includes weightings for:
- 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).
66. Table 4.1 shows the cost weighting (for the subject area), which 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.

**Table 4.1: Cost weighting**

Student Achievement Component - Funding Category	Weighting
A, I, J	1
B, L	2
C, G, H, M, Q	2.5

67. Table 4.2 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 New Zealand Qualifications Framework is low. The ethnicity weighting is applied to each matched course completion record, based on the student ethnicity from the student file associated with the matched enrolment.

**Table 4.2: Equity weighting**

Ethnicity	Weighting
Māori	2
Pacific	2
All other ethnicities	1

68. 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 4.3.

**Table 4.3: Research-component weighting**

Research-Component Weighting	Weighting
Less than 0.75 EFTS	0
0.75 – 1.0 EFTS of masters degree	EFTS value
Masters course of 1.0 EFTS thesis or more	1
Doctorate	3

### Comparison of 2009 final funding and 2010 indicative funding

69. A total of \$59.7 million was available for allocation through the RDC measure in 2009, based on 2005-2007 data. Fourteen TEOs were eligible to receive PBRF funding through this PBRF measure for 2009, declaring a total of 7,675 RDC over the 2005-2007 period. 5,424 of these completions were Masters courses, and 2,032 were Doctorates. The remaining 219 RDCs were PBRF-eligible Postgraduate Diplomas and Honours courses.
70. A total of \$62.5 million was available for RDC measure indicative allocations for 2010, based on 2006-2008 data, of which \$59 million was allocated. A further \$3.5 million of 2010 PBRF funding was not allocated, to allow for the smoothing of any funding adjustments required following RDC data accuracy work by TEOs and the TEC.
71. Fifteen TEOs were eligible to receive indicative PBRF funding for 2010, with Eastern Institute of Technology being eligible to receive funding through this measure for the first time. A total of 7,777 RDCs were declared over the 2006-2008 period. Of these completions, 5,334 were Masters courses, and 2,095 were Doctorates. The remaining 348 RDC were PBRF-eligible Postgraduate Diplomas and Honours courses.
72. Detailed information about RDCs for 2005 to 2008 is given in Appendices A and B.
73. Table 4.4 compares 2009 final and 2010 indicative funding allocations for the RDC measure.<sup>5</sup> Comparisons between RDC performance for 2009 and 2010 funding are provisional, given that 2010 indicative allocations did not fully distribute the available pool of funding.

<sup>5</sup> The RDC figures for over-lapping years (2006 and 2007) may not match due to current data accuracy work. Updated 2006-2008 figures will be reported in the 2010 annual report.

**Table 4.4: 2010 indicative funding compared with 2009 final funding based on RDC measure**

TEO	2009 RDC Ratio	2009 RDC Funding	2010 RDC Ratio	2010 RDC Funding	Ratio change 2009 -> 2010	Funding change 2009 -> 2010
University of Auckland	30.088%	\$17,952,070	31.123%	\$19,452,172	1.036%	\$1,500,102
University of Otago (inc. Dunedin College of Education)	17.564%	\$10,479,672	15.181%	\$9,488,167	<b>(2.383%)</b>	<b>(\$991,505)</b>
Massey University	16.683%	\$9,953,870	13.395%	\$8,372,126	<b>(3.287%)</b>	<b>(\$1,581,744)</b>
University of Canterbury (inc. Christchurch College of Education)	11.909%	\$7,105,856	11.293%	\$7,058,150	<b>(0.616%)</b>	<b>(\$47,706)</b>
Victoria University of Wellington	8.222%	\$4,905,701	8.418%	\$5,261,331	0.196%	\$355,630
University of Waikato	7.190%	\$4,289,982	6.572%	\$4,107,382	<b>(0.618%)</b>	<b>(\$182,600)</b>
Lincoln University	3.538%	\$2,111,036	2.471%	\$1,544,193	<b>(1.067%)</b>	<b>(\$566,843)</b>
Auckland University of Technology	2.929%	\$1,747,509	4.089%	\$2,555,558	139.609%	\$808,049
Unitec New Zealand	0.703%	\$419,245	0.605%	\$377,879	<b>(0.098%)</b>	<b>(\$41,366)</b>
Waikato Institute of Technology	0.441%	\$263,376	0.378%	\$235,943	<b>(0.064%)</b>	<b>(\$27,433)</b>
Whitecliffe College of Arts and Design	0.405%	\$241,814	0.225%	\$140,579	<b>(0.180%)</b>	<b>(\$101,235)</b>
Otago Polytechnic	0.160%	\$95,517	0.524%	\$327,359	0.364%	\$231,842
Te Whare Wānanga o Awanuiārangi	0.109%	\$65,290	0.089%	\$55,679	<b>(0.020%)</b>	<b>(\$9,611)</b>
Laidlaw College	0.059%	\$35,063	0.039%	\$24,483	<b>(0.020%)</b>	<b>(\$10,580)</b>
Eastern Institute of Technology	-	-	0.038%	\$24,009	0.038%	\$24,009
Manukau Institute of Technology	-	-	-	-	-	-
Christchurch Polytechnic Institute of Technology	-	-	-	-	-	-
Open Polytechnic of New Zealand	-	-	-	-	-	-
Te Wānanga o Aotearoa	-	-	-	-	-	-
Nelson Marlborough Institute of Technology	-	-	-	-	-	-
Whitireia Community Polytechnic	-	-	-	-	-	-
Northland Polytechnic	-	-	-	-	-	-
Carey Baptist College	-	-	-	-	-	-
Bethlehem Institute of Education	-	-	-	-	-	-
Anamata	-	-	-	-	-	-
AIS St Helens	-	-	-	-	-	-
Good Shepherd College	-	-	-	-	-	-
<b>Total</b>	<b>100.000%</b>	<b>\$59,666,001</b>	<b>94.440%</b>	<b>\$59,025,010</b>	<b>(5.560%)</b>	<b>(\$640,991)</b>



### Universities' performance

74. The university sector continued to perform most strongly against the RDC measure in 2009 and 2010. In 2009, universities received 98.1 percent of the funding available for this measure and, for 2010 indicative funding, universities received 97.99 percent of the funding allocated.
75. The University of Auckland and the University of Otago were the top performers, jointly receiving 47.7 percent of the available funding in 2009 and 46.3 percent in 2010 indicative allocations. This equates to \$28.4 million in 2009 and \$28.9 million in 2010.
76. The remaining six universities jointly received 50.5 percent of the pool in 2009 and 46.2 percent in 2010. This equates to \$30.1 million in 2009 and \$28.9 million in 2010.
77. The biggest change in performance against this measure amongst the universities was from Auckland University of Technology, which increased its RDC measure ratio from 2.9 percent to 4.1 percent between the two years. While these numbers are yet to be confirmed, they reflect a significant increase in RDCs for 2008.
78. All universities except the University of Auckland, Auckland University of Technology, and Victoria University Wellington had a reduction in their RDC ratios between 2009 and 2010. This meant that their indicative funding allocations for 2010 represented a reduction relative to 2009 final funding. The biggest reduction was for Massey University, with a \$1.6 million drop, and the University of Otago and Lincoln University also had significant reductions of this kind.

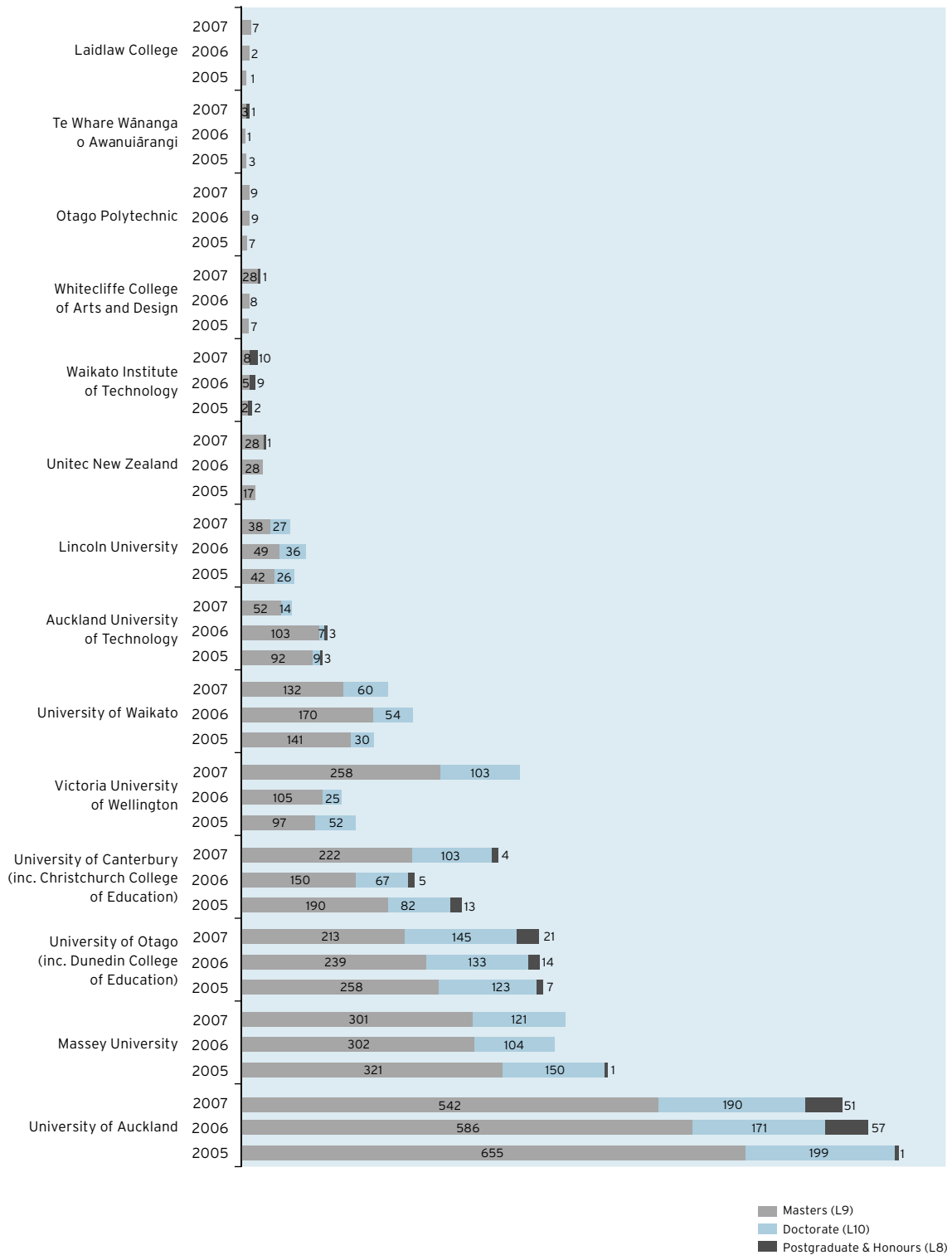
### Other TEOs' performance

79. Other TEOs, including ITPs, wānanga, and PTEs, jointly received 1.9 percent of RDC funding in both 2009 and 2010. This equates to \$1.1 million in 2009 and \$1.2 million in 2010.
80. For other TEOs, the most significant reduction between 2009 and 2010 is for Whitecliffe College of Arts and Design. This provider's indicative funding for 2010 shows a reduction of \$101,235 from its 2009 final funding for this measure.
81. Eastern Institute of Technology received \$24,009 funding against this measure in the indicative 2010 allocations. This reflects the reporting of PBRF eligible completions by Eastern Institute of Technology for the first time in 2008.

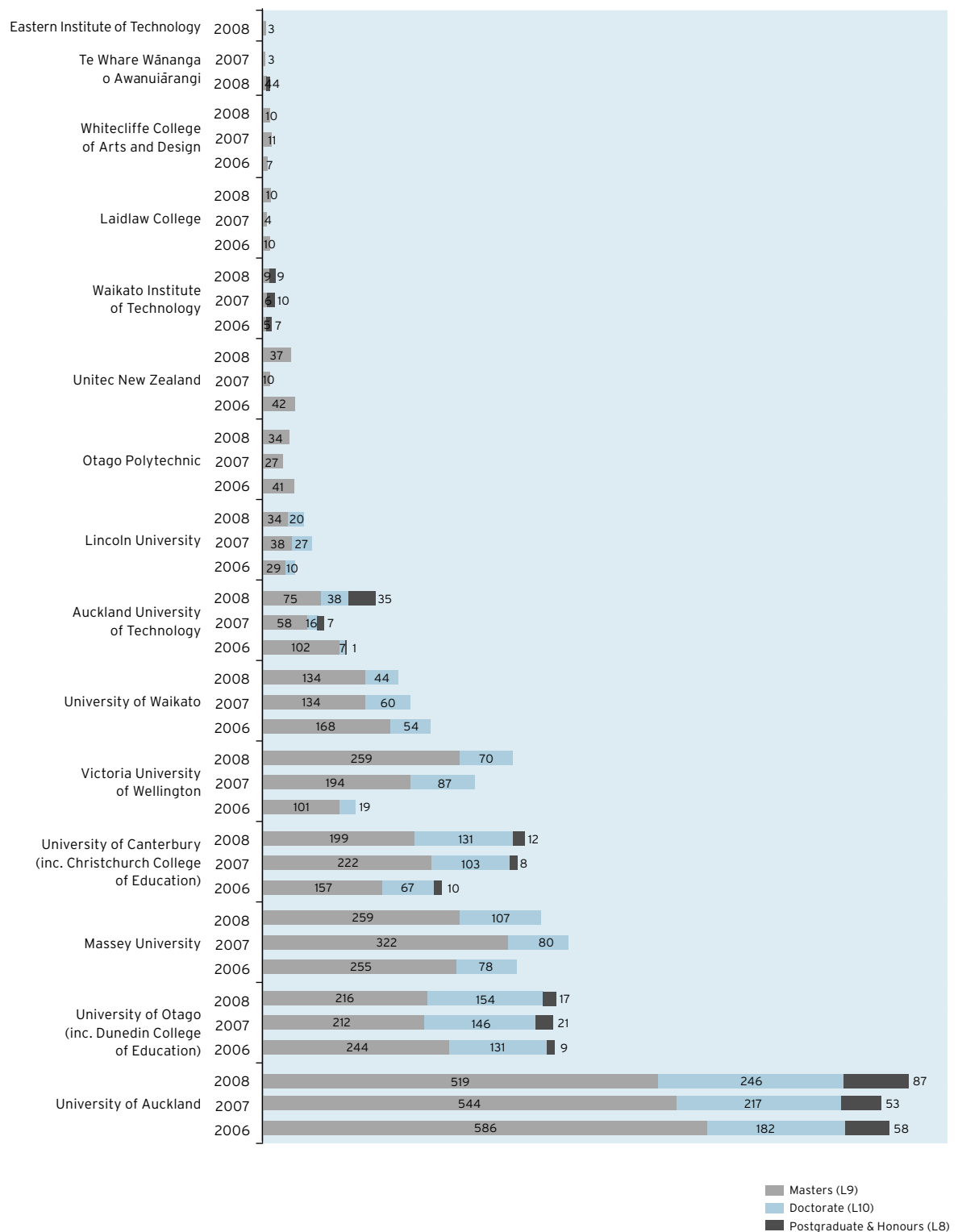
### 2009 and 2010 RDC counts

82. Figure 4.1 shows the confirmed RDC data used to finalise 2009 funding, while figure 4.2 shows the RDC data used to calculate indicative 2010 funding, which was provided at an earlier date. As can be seen, the RDC data for some TEOs in the years used in both funding calculations (2006 and 2007) do not match between the Figure 4.1 and Figure 4.2.
83. The confirmed figures for these two years are shown in Figure 4.1. These figures, rather than the figures supplied for indicative funding, will be used as the basis of the 2010 wash-up in July 2010, and TEOs are currently reconciling SDR records with manual returns. This will result in funding shifts between 2010 indicative and final funding allocations.

**Figure 4.1: 2005-2007 research degree completions measure - volume of Postgraduate Diplomas and Honours, Masters, and Doctorates**



**Figure 4.2: 2006-2008 research degree completions measure - volume of Postgraduate Diplomas and Honours, Masters, and Doctorates**



## Appendix A

### 2009 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
University of Auckland	1	267	297	230
	2	427	359	353
	2.5	161	158	200
Massey University	1	163	152	158
	2	225	181	165
	2.5	84	73	99
University of Otago (inc. Dunedin College of Education)	1	88	99	85
	2	206	212	192
	2.5	94	75	102
University of Canterbury (inc. Christchurch College of Education)	1	73	60	82
	2	120	104	146
	2.5	92	58	101
Victoria University of Wellington	1	69	69	182
	2	78	60	172
	2.5	2	1	7
University of Waikato	1	48	67	78
	2	105	144	101
	2.5	18	13	13
Auckland University of Technology	1	48	43	33
	2	36	40	22
	2.5	20	30	15
Lincoln University	1	24	31	24
	2	26	23	21
	2.5	18	31	20
Unitec New Zealand	1	4	12	6
	2	9	11	16
	2.5	4	5	7
Waikato Institute of Technology	2	14	14	18
Whitecliffe College of Arts and Design	2	7	8	21
Otago Polytechnic	2	7	9	9
Te Whare Wānanga o Awanuiārangi	1	3	1	7
Laidlaw College	1	1	2	7
<b>Total</b>		<b>2,541</b>	<b>2,442</b>	<b>2,692</b>

**Table A-2: Research degree completions: TEO rankings based on subject area weightings - Masters**

TEO	Subject area weighting	2005	2006	2007
University of Auckland	1	198	231	163
	2	348	246	236
	2.5	109	109	143
Massey University	1	107	115	115
	2	167	147	124
	2.5	47	40	62
University of Otago (inc. Dunedin College of Education)	1	67	59	51
	2	138	142	115
	2.5	53	38	47
University of Canterbury (inc. Christchurch College of Education)	1	55	47	56
	2	69	66	97
	2.5	66	37	69
Victoria University of Wellington	1	45	57	128
	2	50	48	125
	2.5	2	0	5
University of Waikato	1	37	45	47
	2	91	115	78
	2.5	13	10	7
Auckland University of Technology	1	40	42	25
	2	32	34	13
	2.5	20	27	14
Lincoln University	1	18	23	19
	2	16	12	13
	2.5	8	14	6
Unitec New Zealand	1	4	12	6
	2	9	11	16
	2.5	4	5	6
Waikato Institute of Technology	2	2	5	8
Whitecliffe College of Arts and Design	2	7	8	21
Otago Polytechnic	2	7	9	9
Te Whare Wānanga o Awanuiārangi	1	3	1	3
Laidlaw College	1	1	2	7
<b>Total</b>		<b>1,833</b>	<b>1,757</b>	<b>1,834</b>

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

TEO	Subject area weighting	2005	2006	2007
University of Auckland	1	69	66	67
	2	78	56	66
	2.5	52	49	57
Massey University	1	56	37	43
	2	58	34	41
	2.5	36	33	37
University of Otago (inc. Dunedin College of Education)	1	21	40	34
	2	67	62	67
	2.5	35	31	44
University of Canterbury (inc. Christchurch College of Education)	1	18	13	26
	2	38	33	45
	2.5	26	21	32
Victoria University of Wellington	1	24	12	54
	2	28	12	47
	2.5	0	1	2
University of Waikato	1	11	22	31
	2	14	29	23
	2.5	5	3	6
Auckland University of Technology	1	6	1	7
	2	3	4	7
	2.5	0	2	0
Lincoln University	1	6	8	5
	2	10	11	8
	2.5	10	17	14
Unitec New Zealand	2.5	0	0	1
<b>Total</b>		<b>671</b>	<b>597</b>	<b>764</b>

**Table A-4: Research degree completions: TEO rankings based on subject area weightings - Postgraduate Diplomas and Honours**

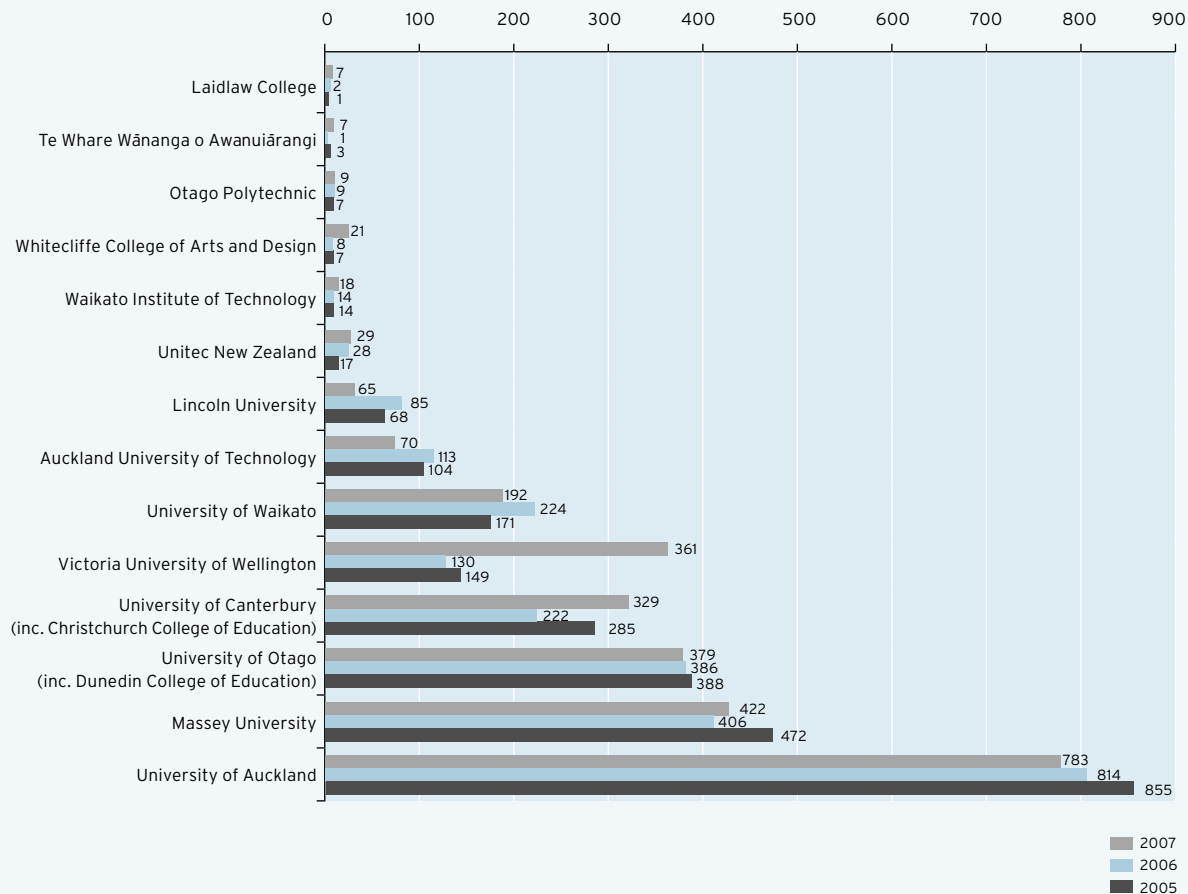
TEO	Subject area weighting	2005	2006	2007
University of Auckland	2	1	57	51
Massey University	2.5	1	0	0
University of Otago (inc. Dunedin College of Education)	2	1	8	10
	2.5	6	6	11
University of Canterbury (inc. Christchurch College of Education)	2	13	5	4
Auckland University of Technology	1	2	0	1
	2	1	2	2
	2.5	0	1	1
Waikato Institute of Technology	2	12	9	10
Te Whare Wānanga o Awanuiārangi	1	0	0	4
<b>Total</b>		<b>37</b>	<b>88</b>	<b>94</b>

**Table A-5: Research degree completions by TEO - all completions**

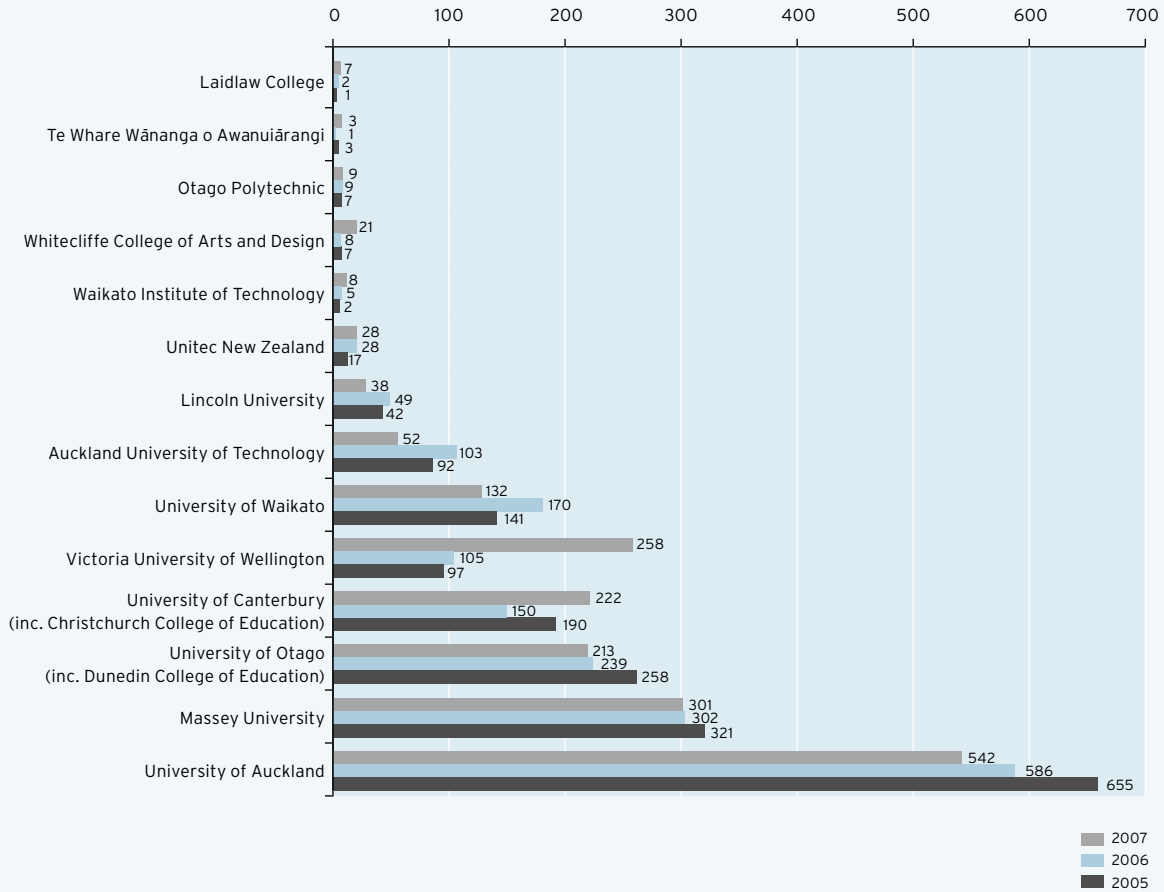
TEO	Year	Post-Grad & Honours (L8)	Masters (L9)	Doctorate (L10)	Total
University of Auckland	2005	1	655	199	<b>855</b>
	2006	57	586	171	<b>814</b>
	2007	51	542	190	<b>783</b>
Massey University	2005	1	321	150	<b>472</b>
	2006	0	302	104	<b>406</b>
	2007	0	301	121	<b>422</b>
University of Otago (inc. Dunedin College of Education)	2005	7	258	123	<b>388</b>
	2006	14	239	133	<b>386</b>
	2007	21	213	145	<b>379</b>
University of Canterbury (inc. Christchurch College of Education)	2005	13	190	82	<b>285</b>
	2006	5	150	67	<b>222</b>
	2007	4	222	103	<b>329</b>
Victoria University of Wellington	2005	0	97	52	<b>149</b>
	2006	0	105	25	<b>130</b>
	2007	0	258	103	<b>361</b>
University of Waikato	2005	0	141	30	<b>171</b>
	2006	0	170	54	<b>224</b>
	2007	0	132	60	<b>192</b>
Auckland University of Technology	2005	3	92	9	<b>104</b>
	2006	3	103	7	<b>113</b>
	2007	4	52	14	<b>70</b>
Lincoln University	2005	0	42	26	<b>68</b>
	2006	0	49	36	<b>85</b>
	2007	0	38	27	<b>65</b>
Unitec New Zealand	2005	0	17	0	<b>17</b>
	2006	0	28	0	<b>28</b>
	2007	0	28	1	<b>29</b>
Waikato Institute of Technology	2005	12	2	0	<b>14</b>
	2006	9	5	0	<b>14</b>
	2007	10	8	0	<b>18</b>
Whitecliffe College of Arts and Design	2005	0	7	0	<b>7</b>
	2006	0	8	0	<b>8</b>
	2007	0	21	0	<b>21</b>
Otago Polytechnic	2005	0	7	0	<b>7</b>
	2006	0	9	0	<b>9</b>
	2007	0	9	0	<b>9</b>
Te Whare Wānanga o Awanuiārangi	2005	0	3	0	<b>3</b>
	2006	0	1	0	<b>1</b>
	2007	4	3	0	<b>7</b>
Laidlaw College	2005	0	1	0	<b>1</b>
	2006	0	2	0	<b>2</b>
	2007	0	7	0	<b>7</b>
<b>Total</b>		<b>219</b>	<b>5,424</b>	<b>2,032</b>	<b>7,675</b>



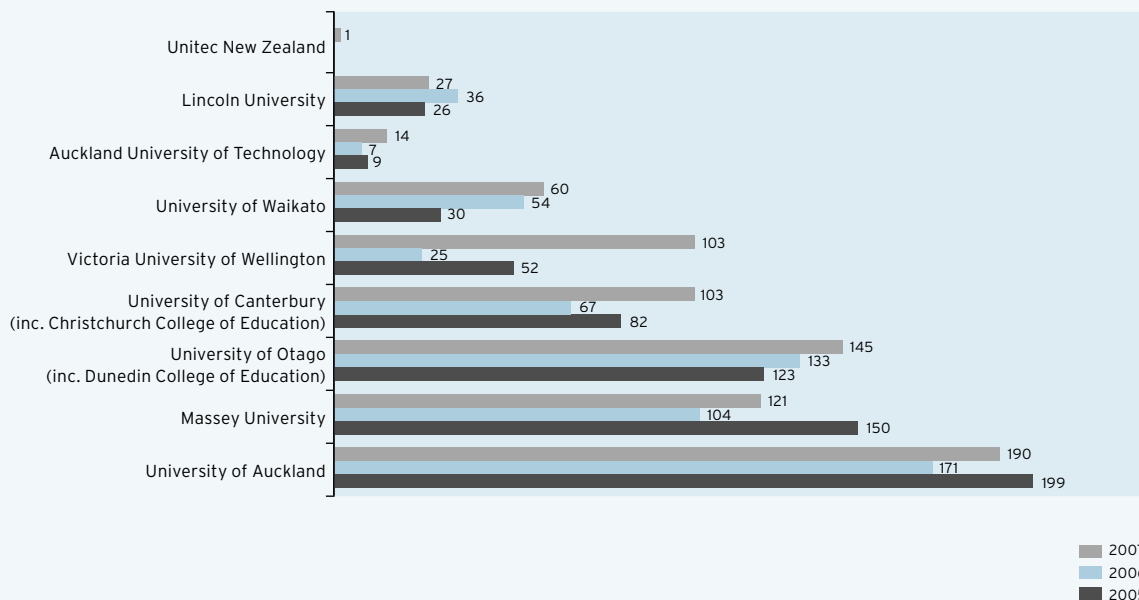
**Figure A-1: Research degree completions for TEOs - all completions**



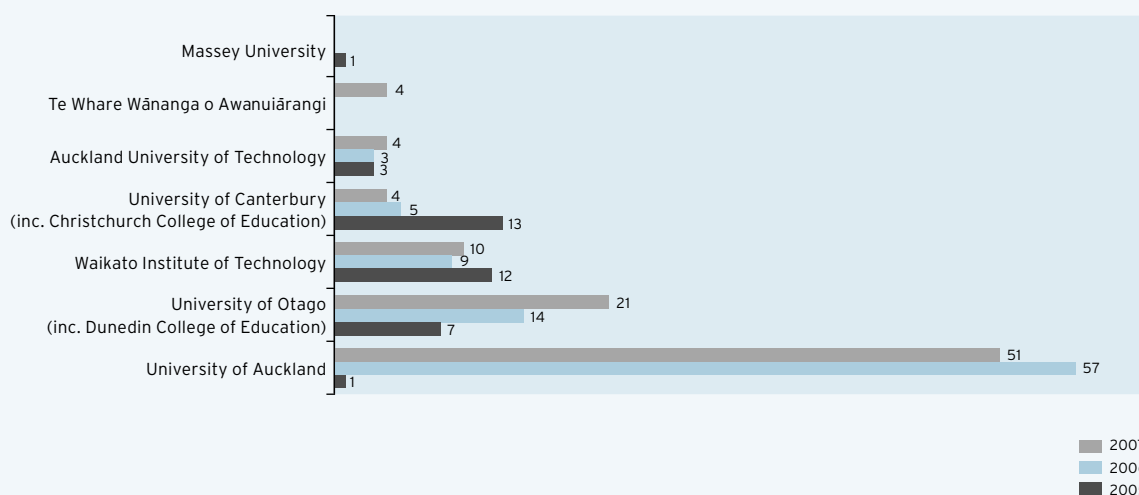
**Figure A-2: Research degree completions for TEOs - Masters**



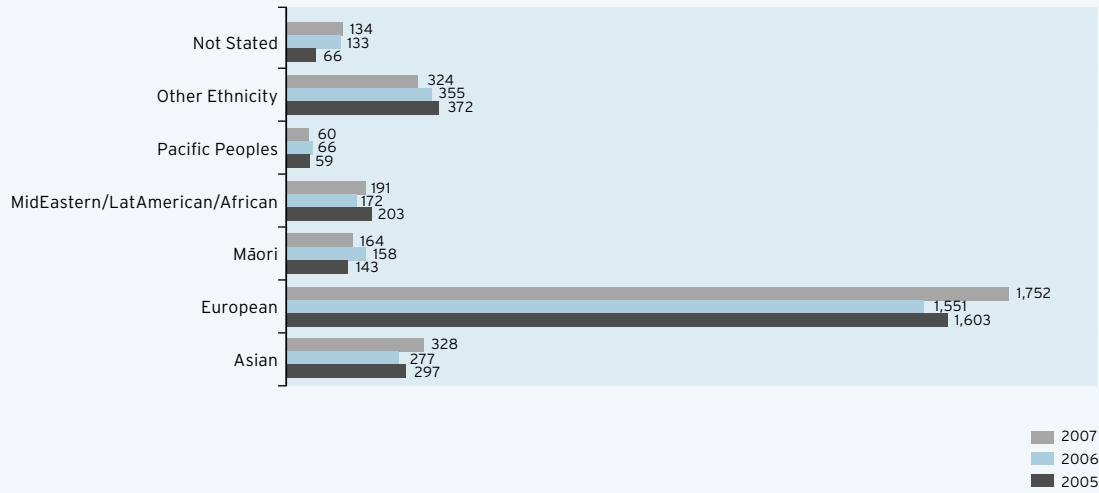
**Figure A-3: Research degree completions for TEOs - Doctorates**



**Figure A-4: Research degree completions for TEOs - Postgraduate Diplomas and Honours**



**Figure A-5: Research degree completions based on ethnicity**



## Appendix B

### 2010 statistical information (RDC measure)

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

TEO	Subject area weighting	2006	2007	2008
University of Auckland	1	296	233	220
	2	373	385	424
	2.5	157	196	208
University of Otago (inc. Dunedin College of Education)	1	102	85	80
	2	211	180	190
	2.5	71	114	117
Massey University	1	131	142	136
	2	160	173	164
	2.5	42	87	66
University of Canterbury (inc. Christchurch College of Education)	1	69	82	85
	2	107	150	157
	2.5	58	101	100
Victoria University of Wellington	1	54	140	137
	2	65	136	182
	2.5	1	5	10
University of Waikato	1	67	80	58
	2	142	101	102
	2.5	13	13	18
Auckland University of Technology	1	44	37	48
	2	40	26	69
	2.5	26	18	31
Lincoln University	1	14	24	14
	2	11	21	22
	2.5	14	20	18
Unitec New Zealand	1	19	7	13
	2	17	3	17
	2.5	6	1	7
Otago Polytechnic	2	41	27	34
Eastern Institute of Technology	2	0	0	3
Laidlaw College	1	10	4	10
Te Whare Wānanga o Awanuiārangī	1	0	8	3
Waikato Institute of Technology	2	12	16	18
Whitecliffe College of Arts and Design	2	7	11	10
<b>Total</b>		<b>2,380</b>	<b>2,626</b>	<b>2,771</b>

**Table B-2: Research degree completions: TEO rankings based on subject area weightings - Masters**

TEO	Subject area weighting	2006	2007	2008
University of Auckland	1	231	166	150
	2	246	240	228
	2.5	109	138	141
University of Otago (inc. Dunedin College of Education)	1	64	51	51
	2	141	105	106
	2.5	39	56	59
Massey University	1	87	122	96
	2	134	147	131
	2.5	34	53	32
University of Canterbury (inc. Christchurch College of Education)	1	56	56	57
	2	64	97	95
	2.5	37	69	47
Victoria University of Wellington	1	47	94	109
	2	53	96	140
	2.5	1	4	10
University of Waikato	1	44	49	40
	2	114	78	79
	2.5	10	7	15
Auckland University of Technology	1	43	29	15
	2	35	14	38
	2.5	24	15	22
Lincoln University	1	13	19	11
	2	6	13	16
	2.5	10	6	7
Unitec New Zealand	1	19	7	13
	2	17	3	17
	2.5	6	0	7
Otago Polytechnic	2	41	27	34
Eastern Institute of Technology	2	0	0	3
Laidlaw College	1	10	4	10
Te Whare Wānanga o Awanuiārangi	1	0	4	3
Waikato Institute of Technology	2	5	6	9
Whitecliffe College of Arts and Design	2	7	11	10
<b>Total</b>		<b>2,335</b>	<b>2,332</b>	<b>2,335</b>

**Table B-3: Research degree completions: TEO rankings based on subject area weightings - Doctorates**

TEO	Subject area weighting	2006	2007	2008
University of Auckland	1	65	67	69
	2	69	92	110
	2.5	48	58	67
University of Otago (inc. Dunedin College of Education)	1	38	34	29
	2	62	66	76
	2.5	31	46	49
Massey University	1	44	20	40
	2	26	26	33
	2.5	8	34	34
University of Canterbury (inc. Christchurch College of Education)	1	13	26	28
	2	33	45	50
	2.5	21	32	53
Victoria University of Wellington	1	7	46	28
	2	12	40	42
	2.5	0	1	0
University of Waikato	1	23	31	18
	2	28	23	23
	2.5	3	6	3
Auckland University of Technology	1	1	7	19
	2	4	8	13
	2.5	2	1	6
Lincoln University	1	1	5	3
	2	5	8	6
	2.5	4	14	11
Unitec New Zealand	2.5	0	1	0
<b>Total</b>		<b>548</b>	<b>737</b>	<b>810</b>

**Table B-4: Research degree completions: TEO rankings based on subject area weightings - Postgraduate Diplomas and Honours**

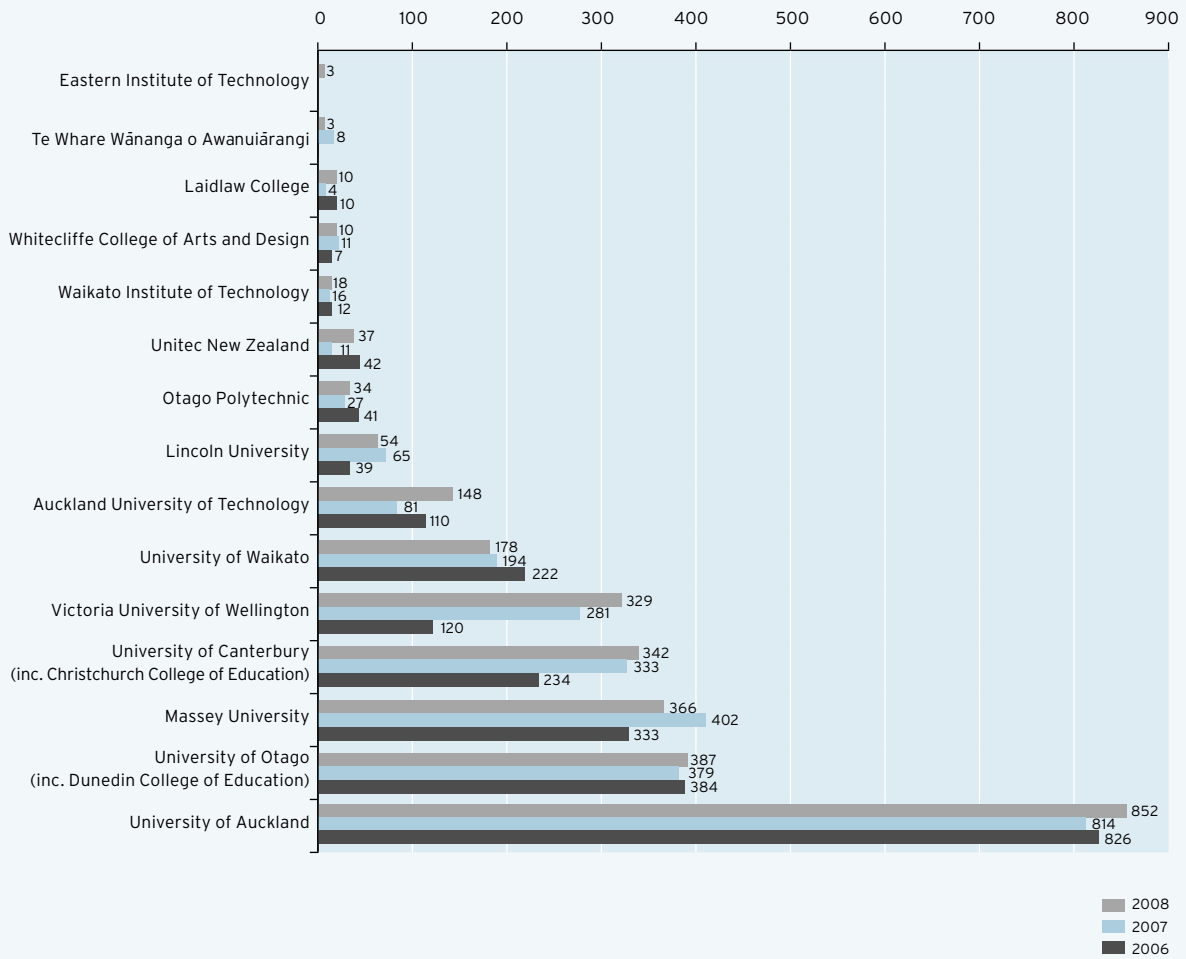
TEO	Subject area weighting	2006	2007	2008
University of Auckland	1	0	0	1
	2	58	53	86
University of Otago (inc. Dunedin College of Education)	2	8	9	8
	2.5	1	12	9
University of Canterbury (inc. Christchurch College of Education)	2	10	8	12
Auckland University of Technology	1	0	1	14
	2	1	4	18
	2.5	0	2	3
Te Whare Wānanga o Awanuiāraangi	1	0	4	0
Waikato Institute of Technology	2	7	10	9
<b>Total</b>		<b>85</b>	<b>103</b>	<b>160</b>



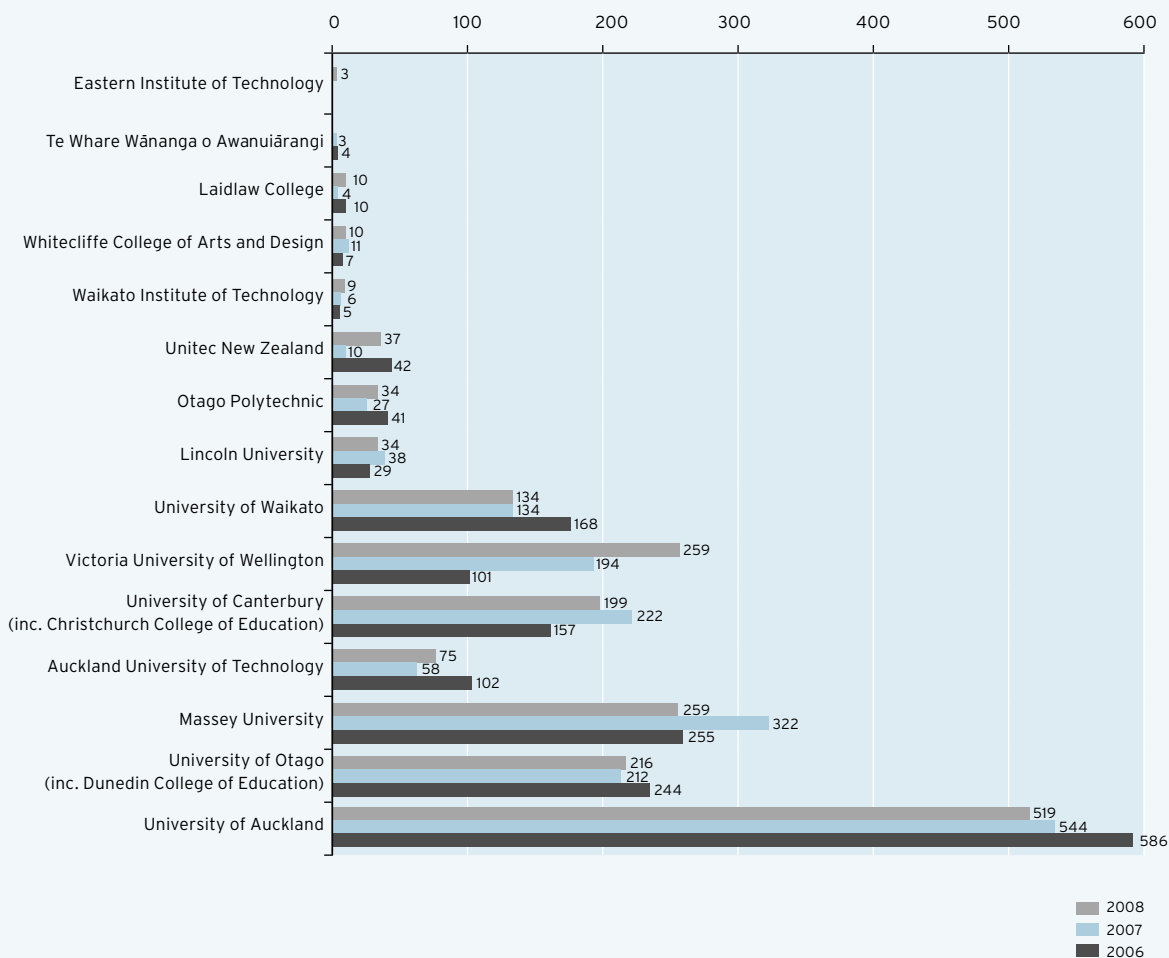
**Table B-5: Research degree completions by TEO - all completions**

TEO	Year	Post-grad & Honours (L8)	Masters (L9)	Doctorates (L10)	Total
University of Auckland	2006	58	586	182	<b>826</b>
	2007	53	544	217	<b>814</b>
	2008	87	519	246	<b>852</b>
University of Otago (inc. Dunedin College of Education)	2006	9	244	131	<b>384</b>
	2007	21	212	146	<b>379</b>
	2008	17	216	154	<b>387</b>
Massey University	2006	0	255	78	<b>333</b>
	2007	0	322	80	<b>402</b>
	2008	0	259	107	<b>366</b>
University of Canterbury (inc. Christchurch College of Education)	2006	10	157	67	<b>234</b>
	2007	8	222	103	<b>333</b>
	2008	12	199	131	<b>342</b>
Victoria University of Wellington	2006	0	101	19	<b>120</b>
	2007	0	194	87	<b>281</b>
	2008	0	259	70	<b>329</b>
University of Waikato	2006	0	168	54	<b>222</b>
	2007	0	134	60	<b>194</b>
	2008	0	134	44	<b>178</b>
Auckland University of Technology	2006	1	102	7	<b>110</b>
	2007	7	58	16	<b>81</b>
	2008	35	75	38	<b>148</b>
Lincoln University	2006	0	29	10	<b>39</b>
	2007	0	38	27	<b>65</b>
	2008	0	34	20	<b>54</b>
Otago Polytechnic	2006	0	41	0	<b>41</b>
	2007	0	27	0	<b>27</b>
	2008	0	34	0	<b>34</b>
Unitec New Zealand	2006	0	42	0	<b>42</b>
	2007	0	10	1	<b>11</b>
	2008	0	37	0	<b>37</b>
Waikato Institute of Technology	2006	7	5	0	<b>12</b>
	2007	10	6	0	<b>16</b>
	2008	9	9	0	<b>18</b>
Laidlaw College	2006	0	10	0	<b>10</b>
	2007	0	4	0	<b>4</b>
	2008	0	10	0	<b>10</b>
Whitecliffe College of Arts and Design	2006	0	7	0	<b>7</b>
	2007	0	11	0	<b>11</b>
	2008	0	10	0	<b>10</b>
Te Whare Wānanga o Awanuiārangi	2007	4	4	0	<b>8</b>
	2008	0	3	0	<b>3</b>
Eastern Institute of Technology	2008	0	3	0	<b>3</b>
<b>Total</b>		<b>348</b>	<b>5,334</b>	<b>2,095</b>	<b>7,777</b>

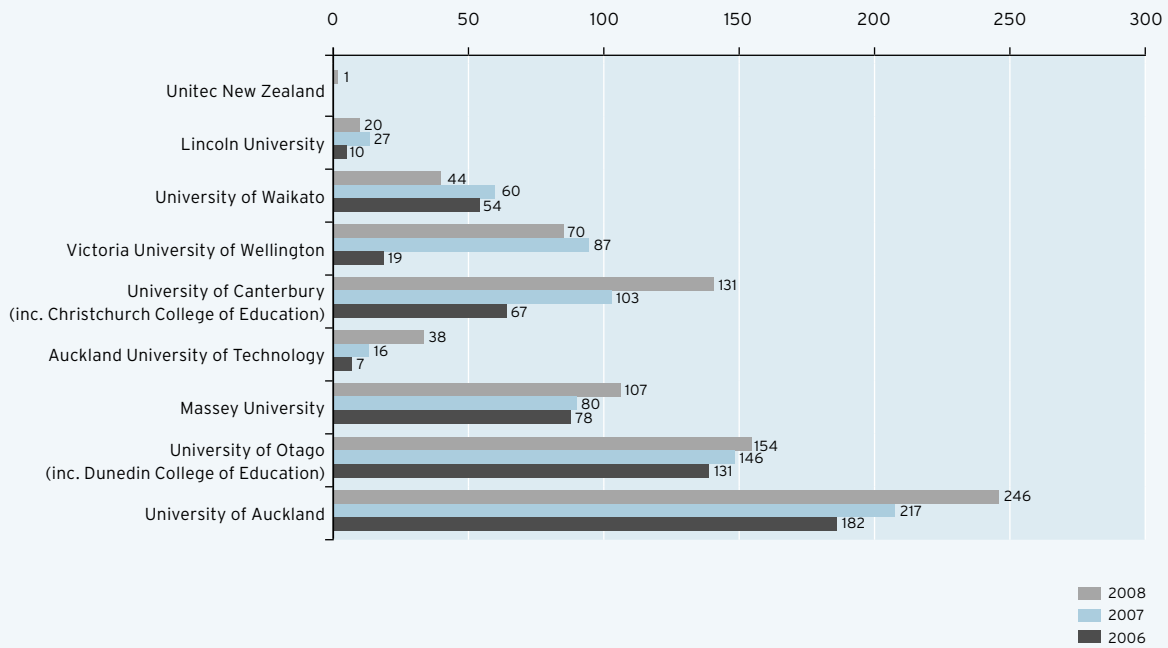
**Figure B-1: Research degree completions: TEO rankings based on subject area weightings - all completions**



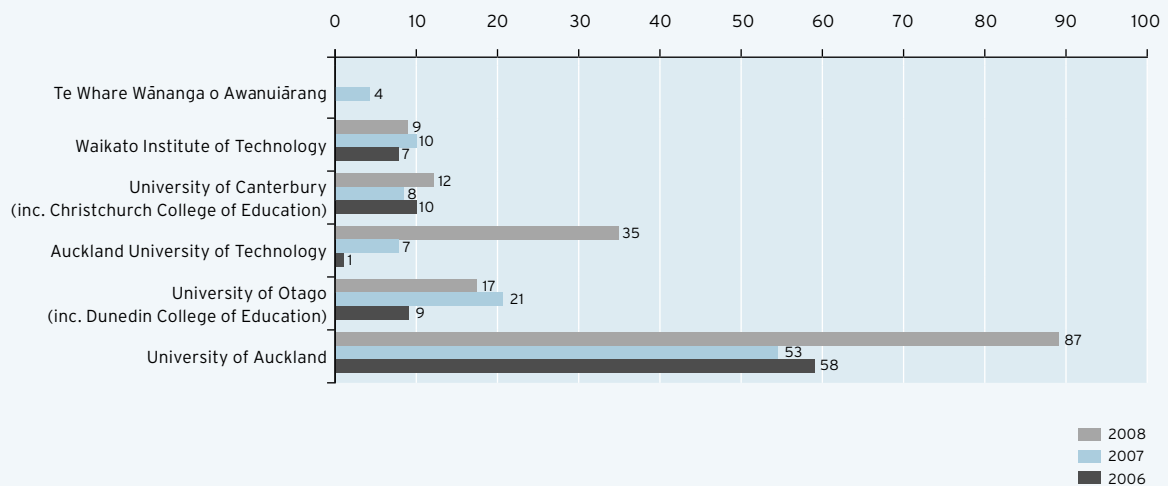
**Figure B-2: Research degree completions: TEO rankings based on subject area weightings - Masters**



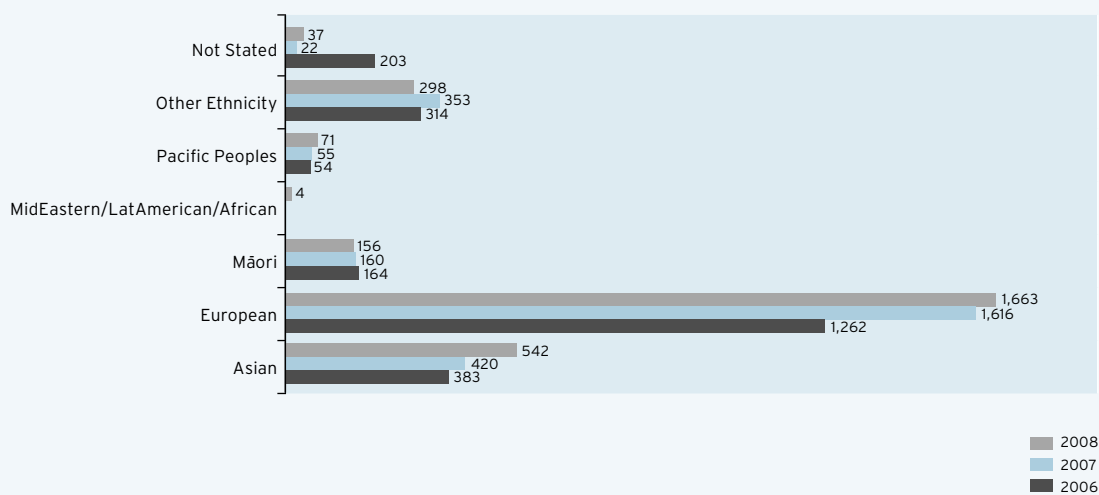
**Figure B-3: Research degree completions: TEO rankings based on subject area weightings - Doctorates**



**Figure B-4: Research degree completions: TEO rankings based on subject area weightings - Postgraduate Diplomas and Honours**



**Figure B-5: Research degree completions based on ethnicity**







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