

# A YEAR IN REVIEW

ANNUAL REPORT 2003



Celebrate  
**THINKING**



THE UNIVERSITY OF AUCKLAND  
NEW ZEALAND

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The Kate Edger Information Commons  
Student Commons





# CHANCELLOR'S INTRODUCTION

## IN 2003 THE UNIVERSITY COUNCIL ADOPTED A NEW CHARTER FOR THE UNIVERSITY – SOMETHING IT LAST DID MORE THAN A DECADE AGO.

A Charter is not a matter to be taken lightly. It is not a document that should be changed often, or changed without very good reason. It addresses fundamental questions such as why the University exists, what it strives to do, and the values that underpin its work. Although Council ultimately has to take responsibility for the Charter, it is by no means Council's document alone. The Charter review process was an opportunity for the University to engage with its stakeholders – who are too numerous to list – and to have a dialogue with them about the mission and goals of the University. Consultation does not mean doing what you are asked to; it means listening carefully to what you are told, and taking serious note of what you hear when making decisions. The Council was very appreciative of the time that many parties took to offer it their views, and they were certainly given proper weight during Council debates on the matter.

The University's new Charter, which has won the endorsement of the Minister of Education, is a powerful statement. It records our mission, which is to be:

*a research-led, international university, recognised for excellence in teaching, learning, research, creative work, and administration, for the significance of its contributions to the advancement of knowledge and its commitment to serve its local, national and international communities.*

Complementary to this is the University's purpose, which is:

*to engage in teaching, learning, and research of a standard comparable to that of research-intensive, comprehensive universities world-wide. In carrying out this purpose, the University aims to develop the knowledge, understanding and talents of its students, foster the research and creativity of its staff, enrich the cultures and promote the prosperity of Auckland, its region and the nation, and enhance knowledge in the various fields of its endeavour.*

Our points of reference are both international and national. Staff and students comprise the University, and both serve and are served by the University in the joint cause of knowledge – a taonga to discover, share and preserve.



2003 was another testing year for the Council, as the reform process commenced by the Government in 2000 continues to take effect. Aspects of the new environment become clearer all the time, but some remain distinctly unsettled. It appears that we have another two or three years at least until the process is complete, and during that time some key issues will be as unresolved as they are now. Two issues that have dominated Council's agenda for the year are vital to our future as a University. One is whether or not funding levels will be sufficient to maintain and improve academic standards. The other is whether or not we will maintain the institutional autonomy and academic freedom that are so necessary for scholarship to flourish.

Our advocacy with the Government on both points has been continual, energetic and well-informed. I wish I were able to report a level of success commensurate with the quality of our case, but unfortunately I cannot. Key provisions of the Education Act, hammered out in 1989, not only entrench academic freedom and institutional autonomy as statutory rights of the University, but enjoin Ministers and government agencies to preserve and enhance those rights. "Erosion" would describe our current experience better than "enhancement". During the year the Edwards review proposed that Council should be made responsible to the Minister. We view this proposal as all but repealing the autonomy and academic freedom provisions, and have argued vigorously against it. The matter remains unresolved.

Discussion of the University's achievements always strikes a different and more positive note than a traversal of our difficult and unhelpful public policy environment. Our teaching and research accomplishments, achieved in all Faculties of the University, are truly impressive. The enhancement of the facilities for the staff and students is equally impressive. There is, however, only one highlight that I will single out for a special mention. That is our Vice-Chancellor's appointment as Vice-Chancellor-elect of the University of Oxford. Those, like me, who have worked closely with Dr Hood during his time at The University of Auckland – both as a Council member and as Vice-Chancellor – will realise that this appointment is fair and just recognition of his outstanding intellect and leadership qualities, and his deep commitment to and understanding of the idea of a university. This will be the last Annual Report published before Dr Hood takes up his new appointment, so it is an appropriate time for me, on behalf of Council, to recognise the enormous steps forward the University has taken in recent years, and to pay tribute to the special part his leadership has played in our successes.



**JOHN GRAHAM**

Chancellor



# VICE-CHANCELLOR'S REVIEW

FOR ALMOST A MILLENNIUM THE IDEA OF HIGHER LEARNING AND RESEARCH ENTWINED WITH EACH OTHER AND INSTITUTIONALISED IN ORGANISATIONS CALLED "UNIVERSITY" HAS STRUGGLED AGAINST ALL MANNER OF OPPOSITION AND CONSTRAINT. BUT SUCH IS THE POWER OF THE IDEA THAT IT HAS NOT ONLY SURVIVED. IT HAS THRIVED AND GROWN TO THE POINT WHERE IT IS ONE OF THE FUNDAMENTAL UNDERPINNINGS OF FREE AND OPEN DEMOCRACIES.

The health of a modern society owes much to places where people can learn as much as they are able, where ideas are debated and tested, and where new knowledge is discovered and disseminated. These are, above all else, activities of the mind. Minds wilt when constrained, but triumph when allowed to roam free. Hence the long association of the ideas of autonomy and academic freedom with the idea of a university, and their identification as necessary conditions for learning and research to occur.

At times in their history, theocracies and dictatorships have (rightly) seen free universities as a prospective source of informed dissent, and have crushed them. At other times, states have taken extraordinary steps to nourish their universities. The spread of civic universities across Britain in the 19th century and the widespread public endowment of land grant universities in the United States are two such examples. Governments in both countries recognised that a well educated population and the energetic discovery and application of knowledge were essential to improve the well-being – socially and economically – of their populations.

It is likely that future generations will look back on the current decade as having been another golden age for universities in many parts of the world. Governments in Britain, Canada and Australia, for example, are currently increasing materially their investment in public universities, in several instances with a particular focus on their research function.

Forty years ago in New Zealand, the Hughes Parry report, enthusiastically embraced by the Government of the day, promised a rejuvenation of New Zealand's universities. Student numbers exploded, research was emphatically legitimised as a function of universities. Through the 1960s and 1970s public

investment grew rapidly, supporting expansion, widespread improvement of facilities and improved pay and conditions for staff.

The following two decades, however, saw successive retreats from that enlightened attitude and a progressive worsening of the environment for universities in New Zealand. Successive governments from the mid-1980s and through the 1990s all steadily reduced funding in real terms – and New Zealand was by no means alone internationally in this respect. Despite extended retrenchment in financial terms, autonomy and academic freedom were by and large preserved during this period. Indeed, in 1990 the concepts were even entrenched in legislation, where they remain to this day.

During the current decade, however, matters have become materially worse for New Zealand in two respects.

The first is that the determined rebuilding of public investment in universities taking place elsewhere is not being matched in New Zealand. This will make our universities steadily less attractive places for the world's most capable scholars. Funding levels through the period of the fees freezes and into 2004 have kept pace with the CPI, but the CPI is an irrelevant index to universities. It measures goods and services that households buy – which typically do not include academic salaries, specialist research equipment and scientific journals. The prices of the goods and services that universities buy rise at a significantly and demonstrably faster rate than the CPI, and so must funding.

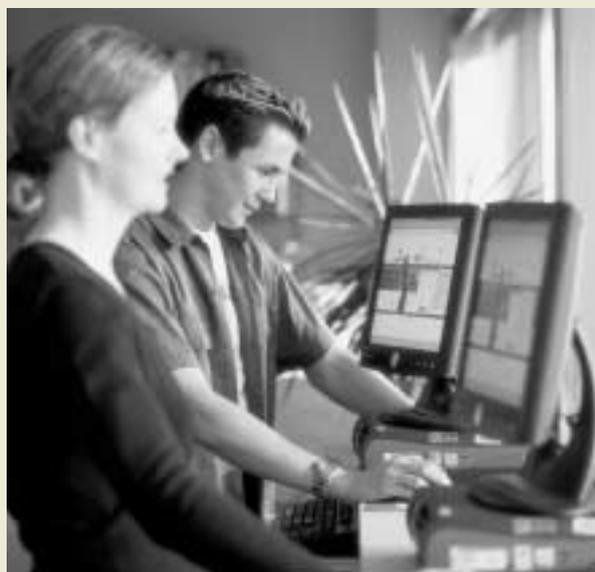
Even if annual adjustments were to be based on an appropriate index, base funding rates for a research-intensive university remain well below those applying internationally. Correction of this differential remains an urgent priority. The pools of public research funding that universities can access on a contestable basis remain too small by international norms, and in some cases are not fully-funded. These deficiencies need to be remedied. The Government has made some welcome moves in terms of funding – Performance Based Research Funding, Partnerships for Excellence, and the Centres of Research Excellence – but the increase in resources available through these channels is small compared with what is required.

The second current matter of great concern to universities in New Zealand is the continuing and intensifying attack on their autonomy. In the last two years we have seen the Minister take the power to appoint a Commissioner in place of the Council, TEC given "steering" powers enabling it to overrule any academic decision of the Senate and the University's power to set fees needlessly regulated all but out of existence. It has

now become commonplace to read in official Government documents of universities as “state-owned” or “Crown-owned” entities.

Through the New Zealand Vice-Chancellors’ Committee this University has taken a leading role in an extended debate with Treasury over the relationship between universities and the Government. Treasury’s position, supported by key Ministers, is that the Government has a level of control over universities’ operating policies and rights to universities’ assets sufficient to classify universities as wholly-owned subsidiaries of the Government for the purposes of the Crown accounts. This position is deeply antithetical to universities. It is also directly contrary to New Zealand law which not only guarantees university autonomy and academic freedom, but binds Ministers and public servants to preserve and enhance those ideals. To date we have been successful in persuading Treasury that the relevant accounting standard (FRS 37) does not support their position. This has prompted Treasury to seek an amendment to that standard. This matter continues to be vigorously contested by the University.

In the same context, the Governance Review and current review of legislation relating to Crown Entities remain live issues. The recommendations of the Governance Review, enthusiastically embraced by the Minister and then made available for consultation, included a proposal that university councils be made responsible to the Minister. Unfortunately the Review report did not clearly state how this recommendation, which constitutes another assertion of central control and a further erosion of autonomy, contributed to the Review’s objective of improving governance of New Zealand tertiary institutions. The Public Finance (State Sector Management) Bill, which has been the subject of preliminary consultation with universities, is an omnibus bill bringing into one act the law relating to a wide range of Crown Entities. There is particular reference to their relationship with the Minister responsible for each. Typically, Crown Entities are effectively a part of the machinery of central Government, and thus properly subject to a high degree of Ministerial oversight and direction. Universities are currently Crown Entities for very limited purposes – principally relating to the preparation of annual financial statements – and do not have a “responsible Minister” in the way that other Crown Entities do. It is of vital concern to the universities that this Bill is not taken as another opportunity to make them more like generic Crown Entities and less like universities. Not only is our independence at risk from this raft of moves towards more regulation and greater centralisation, our



uniqueness is too. Despite the contrary claims of those suffering from what is described as “tall poppies syndrome” on the one hand, and the voices of vested interests on the other, New Zealand has a differentiated university system. So does every developed nation, and it is appropriate and healthy. The idea of autonomous academic decision-making by and within universities means that those institutions will incrementally take on a different character to each other, according to the strengths, preferences and capabilities of each, the judgements that each makes, and the different opportunities and risks that each faces.

Only in a system wholly controlled from a central point is uniformity a possible outcome; possible, but utterly undesirable. It makes no sense for academics and students to be denied any real choice as to how and where to pursue their teaching, learning and research. To the contrary, it makes a great deal of sense for a multi-university system to contain universities with differing and complementary strengths, and for universities – like any organisation – to recognise and concentrate on their strengths.

This University’s strength is its research intensity, and the way its research expertise guides and informs its teaching. This is recognised in our collegially developed, and several times reaffirmed, mission. It distinguishes us from other New Zealand universities and places us alongside, for example, our Universitas 21 colleagues in Australia – Queensland, UNSW and Melbourne. We have New Zealand’s ablest student body – evidenced by our unusually high entry standards, the strongest cohort of research-active academics – demonstrated by our exceptional research productivity and levels of contestable



research funding, and the largest body of postgraduate scholars. In 2002 we contracted a total of \$159 million in external research funding, although we did fear that that total might be something of a one-off high, boosted by the three Centres of Research Excellence won that year. Last year, however, we contracted for a further \$165 million in revenue through the Research Office and our commercial research arm, Auckland UniServices Ltd. Our level of research activity far exceeds that of any other research organisation in New Zealand. We recorded the most success in contestable rounds such as the Top Achiever Doctoral Scholarships and Marsden Fund and Health Research Council grants. Five of the eight university academics elected to Fellowships of the Royal Society of New Zealand last year were from The University of Auckland, as are five of the current ten James Cook fellows.

Participation in the first PBRF round required an exceptional effort from colleagues throughout the University. The results are expected in early 2004, and may bring a modest increase in revenue to the University. Revenue should grow slowly through to 2007 when the available funds will be fully distributed on the basis of performance, rather than EFTS enrolments as is currently the case. Only very limited new funding has been made available for the PBRF, and in its early years the compliance costs will outweigh any gain in revenue.

Additional funding support for the PBRF is an urgent priority. Two decisions taken during 2003 have major implications for the academic composition of the University. One was the formation of a new Faculty of Creative Arts and Industries, and the dissolution of the former Faculty of Architecture, Property, Planning and Fine Arts. The new faculty brings together Music and the School of Creative and Performing Arts from the Faculty of Arts with the Schools of Architecture and Fine Arts and the Department of Planning. This move flows from recent reviews of all of the components of the new Faculty. It brings exciting new opportunities for the development of teaching, research and creative work in the creative and performing arts. The other major decision, still subject to Government approval but proceeding well through the decision-making process, is the proposal from the Councils of the University and the Auckland College of Education to merge our two institutions. A new Faculty of Education would be formed by combining the College with the School of Education. Bringing together the country's principal provider of undergraduate programmes in education with the leading centre of research in the field is an obvious combination of strengths. The new Faculty will have a depth and breadth in teaching and research in education unparalleled in New Zealand. In the field of education, the Ministry of Education's Group Special Education relocated onto the Tamaki Campus, and signed an agreement with the University jointly to pursue teaching and research opportunities.

In 2002 the University formed a number of commissions and taskforces to work on several important issues, and implementation of their recommendations proceeded through last year. Significant decisions taken following consideration of the report of the Curriculum Commission, led by Professor Dalziel, included the move to a 120-credit year from 2006 and the introduction of a general education requirement into all first degrees. Faculties have devoted considerable attention to progressing these decisions.

A Student Life Board has been formed under Professor Maxton, and is driving implementation of the recommendations of the Student Life Commission. Professor McCarthy chairs the Academic Heads Advisory Group, which has taken on the same role with respect to the Academic Heads Taskforce.

Developments include regular opportunities for all Heads of Departments (HoDs) to meet with Deans and members of the Vice-Chancellor's Office, a development programme for HoDs and improved Variable Supplementary Payments.

The University's Capital Plan and Financial Projections was again reviewed in 2003. This showed that our annual investment in library materials is keeping pace with benchmark universities in Australia. The higher equipment capex allocations of the last few years have now brought that area of our infrastructure broadly into line with benchmarks as well. We remain seriously short in terms of buildings, however, and will take most of the coming decade to catch up.

Three major new developments came on stream during the year. The Engineering Atrium and Lecture Theatre project has transformed the physical configuration of the Faculty, giving it an outward appearance and a central space for social interaction that it previously lacked. The extension on the Wellesley St side of the Science Centre has provided much needed space for expansion of the Science Faculty, particularly in Computer Science.

The Kate Edger Information Commons and the Student Commons development has had a dramatic impact on the centre of the City Campus. This complex houses a number of new food service and retail outlets, which have proven very popular with students, several student services in improved and more conveniently accessible facilities and, most significantly, 1,200 new student workstations, 500 of them with networked PCs. The Commons also houses a number of high-demand undergraduate learning resources, such as the Short Loan Collection. From the day it opened all of the different individual and group study environments available have been well utilised. A similar, but smaller, facility will open on the Grafton Campus for the 2004 academic year.

The University took over the lease of the former National Bank premises on Princes Street, and has refitted them to provide a new base for the External Relations group and a link between the University and its alumni. A refit of the east wing of the

Clocktower provided space to co-locate all of the EO and EEEdO team with the newly-formed Schools Partnership Office, as well as expanded facilities for the Graduate Centre. Progressive refitting of the floors of the Science Centre occupied by the Chemistry Department is bringing a new lease of life to an area of the University badly in need of it.

Other significant capital projects currently in progress are the Fale Pasifika, the School of Population Health and the new Business School. The latter complex will provide an outstanding base for teaching and learning in the Faculty of Business and Economics, as well as much-needed additions to the University's stock of carparks and pool lecture theatres.

High on the Capital Planning and Budget Committee's agenda and likely to commence within the next year are refits of several floors of the Science Centre for parts of the Faculty of Engineering, less risky central IT facilities, improvements to security across all campuses, an expansion of the Engineering Library, a significant expansion and improvement of the animal facilities at Grafton, an academic centre at Auckland Hospital for clinical staff and the refit of Old Government House. The latter is subject to a major portion of the cost being externally funded. The building is a magnificent national asset, but it is not reasonable that the University carry the heritage liability on its own.

Once again, the University achieved its key financial targets for the year. EFTS continued to grow strongly, although at a slightly slower rate than in recent years. Total EFTS rose by 1,226, or 4.7 per cent to 27,205. The total number of students enrolled was 33,226, up 5.5 per cent on 2002. Enrolments in postgraduate programmes grew by 6.6 per cent, slightly higher than overall growth.

The operating surplus for the year, at \$15.3 million was \$0.7 million ahead of budget, and \$3.7 million ahead of 2002. The Operating Cashflow was also better than both budget and the 2002 result. These results are pleasing for two reasons. The first is that they represent further confirmation of the robustness of the University's financial management and reporting systems. The second is that, for the first time since the mid-1990s, the University recorded an operating surplus of 3 per cent of revenue. An operating surplus of less than 3 per cent of revenue is one of the Ministry of Education's risk factors, which can form part of the necessary legal justification for the Minister directly intervening in the management and governance of the University. Seeking to avoid this if at all possible, the University Council has determined that the University's operating surplus should be within the range 3 – 4 per cent of revenue. The final result for 2003, and the budgeted outcome for 2004, are each right at the bottom of that range. Much higher surpluses would be the norm in strong university systems internationally, in our peers in Australia, the research-intensive Group of Eight universities, for

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example. They would place the University in a much stronger position to withstand unexpected adverse events.

A higher surplus would, however, come at the cost of reduced operating expenditure. The University is thus treading a very fine line, running a surplus which is lower than desirable, but at the lowest level it can without falling into too risky a position. Maintaining this position requires a great deal of effort from colleagues across the University; their success is notable.

The difficulties I have outlined relating to the shortcomings of current policy settings and trends have to be set against the overwhelming strength of our institution – comprising its people and their achievements. Universities have to take a long term view. Auckland and New Zealand will always need and support an excellent university, and no institution is better placed to meet that need and win that support. Policies that frustrate us in doing so cannot be anything other than a short-term aberration, and cannot be expected to endure. The University of Auckland need have nothing but confidence in its future.



**JOHN HOOD**  
Vice-Chancellor



# KEY FACTS AND FIGURES

	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
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## STAFF

Full-time equivalent staff (FTE)

Academic	1,826	1,702	1,561
General	1,960	1,835	1,732
<b>Total</b>	<b>3,786</b>	<b>3,537</b>	<b>3,293</b>

## STUDENTS

EFTS

Ordinary EFTS	27,008	25,604	23,927
<b>Total EFTS reported</b>	<b>27,205</b>	<b>25,979</b>	<b>24,338</b>

NOTE: Total EFTS claimed on the Ministry of Education single data return include both students ordinarily enrolled at the University plus adjustments for non-formal students, and other adjustments. Student figures relate only to ordinary students and EFTS.

GENDER

Male	15,462	14,854	13,919
Female	17,764	16,648	15,546
<b>Total</b>	<b>33,226</b>	<b>31,502</b>	<b>29,465</b>

WORKLOAD

Full-time	21,465	20,429	19,305
Part-time	11,761	11,073	10,160
<b>Total</b>	<b>33,226</b>	<b>31,502</b>	<b>29,465</b>

ETHNICITY

European	13,859	14,064	13,977
Māori	1,823	1,826	1,804
Pacific Islands	2,069	1,975	1,839
Asian	11,420	10,373	9,089
Other	1,655	1,466	1,197
No response	2,400	1,798	1,559
<b>Total</b>	<b>33,226</b>	<b>31,502</b>	<b>29,465</b>

AGE GROUP

18 or Less	4,995	4,981	4,677
19-20	8,465	7,919	7,116
21-23	7,908	7,183	6,443
24-29	4,760	4,353	4,105
30-39	3,932	3,981	4,086
40+	3,166	3,085	3,038
<b>Total</b>	<b>33,226</b>	<b>31,502</b>	<b>29,465</b>

	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
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## STUDENT ENROLMENT

UNDERGRADUATE

Faculty

Architecture, Property, Planning & Fine Arts	1,450	1,348	1,289
Arts	6,086	5,960	5,726
Business & Economics	4,677	4,161	3,634
Engineering	1,933	1,805	1,647
Law	632	584	594
Medical & Health Sciences	1,592	1,411	1,219
Science	5,363	5,229	5,054
Theology	190	220	248
University Conjoint Programmes	3,059	3,001	2,850
University Programmes	1,805	1,627	1,429
<b>Total</b>	<b>26,787</b>	<b>25,346</b>	<b>23,690</b>

NOTE:

- University Programmes include Tertiary Foundation Certificate and Certificate of Proficiency
- Continuing Education and New Start foundation enrolments are excluded from the above table
- Students enrolled in conjoint degrees are listed under University Conjoint Programmes

POSTGRADUATE

Architecture, Property, Planning & Fine Arts	276	261	226
Arts	1,640	1,529	1,541
Business & Economics	2,161	2,122	1,948
Engineering	577	537	420
Law	166	139	77
Medical & Health Sciences	1,393	1,288	1,138
Science	1,684	1,522	1,468
Theology	67	62	68
University Programmes	334	322	314
<b>Total</b>	<b>8,298</b>	<b>7,782</b>	<b>7,200</b>

NOTE:

- University Programmes include Institute of Legal studies enrolment
- PhD and doctorate enrolments are counted in their sponsoring faculties

ALL PROGRAMMES

Architecture, Property, Planning & Fine Arts	1,804	1,663	1,570
Arts	8,579	8,329	8,064
Business & Economics	7,729	7,155	6,412
Engineering	2,612	2,431	2,133
Law	1,487	1,409	1,340
Medical & Health Sciences	3,016	2,728	2,380
Science	7,457	7,177	6,928
Theology	262	289	323
University Programmes	2,139	1,949	1,743
<b>Total</b>	<b>35,085</b>	<b>33,128</b>	<b>30,890</b>

NOTE:

- Conjoint, PhD and other doctorate enrolments are reported with their sponsoring Faculty. For example, a student enrolled in BA/BSc will be distributed to both Science and Arts at a ratio of 50/50.

	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>STUDENT ENROLMENT BY QUALIFICATION</b>			
Doctor of Philosophy	1,197	1,119	1,027
Other Doctoral Degree	99	72	59
Masters Degree	2,631	2,402	2,189
Conjoint Honours	174	176	165
Conjoint Degree	2,885	2,825	2,685
Bachelors Honours	480	472	417
Bachelors Degree	21,325	20,150	18,797
Diploma	4,003	3,867	3,613
Certificate	1,951	1,711	1,472
Other programme	340	334	466
<b>Total</b>	<b>35,085</b>	<b>33,128</b>	<b>30,890</b>

#### QUALIFICATIONS AWARDED (BY FACULTY)

Architecture, Property, Planning & Fine Arts	366	339	329
Arts	1,795	1,816	1,863
Business & Economics	1,720	1,636	1,557
Engineering	455	431	383
Law	299	265	249
Medical & Health Sciences	567	489	535
Science	1,454	1,332	1,369
Theology	58	53	56
University Programmes	112	115	104
<b>Total</b>	<b>6,826</b>	<b>6,476</b>	<b>6,445</b>

	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>INTERNATIONAL STUDENTS</b>			
<i>COUNTRY OF CITIZENSHIP</i>			
China	2,606	1,765	836
USA	305	213	165
Malaysia	202	190	166
Korea	198	184	147
Germany	161	124	93
India	154	101	35
Hong Kong	115	119	115
Norway	110	74	71
Fiji	88	84	73
Japan	85	77	97
Indonesia	72	90	87
Vietnam	53	29	16
Sweden	52	60	59
Taiwan	51	62	59
United Kingdom	43	49	31
Singapore	37	34	33
Canada	35	32	28
Samoa	32	35	35
Russian Federation	31	17	9
France	31	27	22
Thailand	26	26	35
Denmark	23	18	14
Other	250	263	230
<b>Total</b>	<b>4,760</b>	<b>3,673</b>	<b>2,456</b>



# UNIVERSITY GOVERNANCE

THE UNIVERSITY WAS FOUNDED IN 1883 AS A CONSTITUENT COLLEGE OF THE UNIVERSITY OF NEW ZEALAND. UNDER THE UNIVERSITY OF AUCKLAND ACT 1961 THE COLLEGE BECAME AN AUTONOMOUS UNIVERSITY. THE UNIVERSITY IS CURRENTLY ADMINISTERED UNDER THE 1961 ACT AND THE EDUCATION ACT 1989.

THE UNIVERSITY'S MISSION IS TO BE AN INTERNATIONALLY RECOGNISED, RESEARCH-LED UNIVERSITY, KNOWN FOR THE EXCELLENCE OF ITS TEACHING, RESEARCH, AND SERVICE TO ITS LOCAL, NATIONAL AND INTERNATIONAL COMMUNITIES.



## UNIVERSITY LEADERSHIP

### THE COUNCIL

The University's governing body is the Council, which comprises elected staff, students, and graduates, Council appointees and Ministerial appointees. Two executives – the Vice-Chancellor and one of the Deputy Vice-Chancellors – are also members of Council. Council is chaired by the Chancellor who is a lay member of Council.

Under the Education Act 1989 as amended, the Council has the following functions:

- Appoint a chief executive
- Prepare, negotiate and adopt the University Charter
- Adopt the Profile
- Ensure that the institution is managed in accordance with the Charter and Profile
- Determine the policies of the institution in relation to the implementation of its Charter and the carrying out of the Profile and, subject to the State Sector Act 1988, the management of its affairs.

The Council is required, when performing its functions, to fulfil various duties. These include:

- Striving to ensure that the University attains the highest standards of excellence in education, training and research
- Acknowledging the principles of the Treaty of Waitangi
- Encouraging the greatest possible participation by the communities served by the University, especially by under-represented groups
- Ensuring that the University does not discriminate unfairly against any person
- Ensuring proper standards of integrity, conduct and concern for the public interest and the well-being of students
- Ensuring that systems are in place for the responsible use of resources.

### THE VICE-CHANCELLOR

The Education Act 1989 entrusts the Chief Executive Officer (Vice-Chancellor) with the management of the academic and administrative matters of the University. The Vice-Chancellor is the employer of all staff. The Vice-Chancellor is supported by an Advisory Group comprising:

- The Deputy Vice-Chancellors Academic and Research
- The Pro Vice-Chancellors Equal Opportunities, International, Māori and Tamaki
- The Deans
- The Registrar and the Directors of Administration, Human Resources, Planning and External Relations.



## THE SENATE

On academic matters, Council is bound to consult Senate which the Vice-Chancellor chairs. This body includes all professors, as well as representatives of sub-professorial staff and students. The Senate takes advice from the Education and Research Committees and from a number of other committees.

Council has delegated to Senate the following responsibilities and functions:

- Making recommendations or reports to the Council on any matter affecting the University
- Furthering and co-ordinating the work of faculties and departments, the Library, and University Press
- Encouraging scholarship and research
- Appointing standing committees as required
- Delegating authority to its committees.

## → THE FACULTIES

Each Faculty is a Committee of Senate and is headed by a Dean who is responsible for management of the teaching, research and administrative activities of the Faculty. Each Faculty has established its own structure of Associate and Assistant Deans, and committees. Deans have primary financial responsibility for their Faculties.

## → CHARTER AND PROFILE

In 2003 the University reviewed its Charter, the high-level governance document that defines broad strategy and sets out the University's mission and role. The University's Charter was developed after a range of meetings and forums with key groups that provided the University's stakeholders with the opportunity to express their views on the direction of The University of Auckland.

The University's Charter provides the basis for the development of its Profile. The Profile is a rolling annual statement describing the University's plans and activities for the next three years, outlining how these will give effect to the broad strategies and mission set out in the Charter.

## → CAPITAL PLAN AND FINANCIAL PROJECTIONS

The Capital Plan is updated annually and sets out the investment required to maintain and enhance the University's infrastructure and resources over a ten-year period.

The property capital expenditure programme is reviewed by the Capital Planning and Budgeting Committee with specific project approvals sought from Council. Faculty capital requirements are established subject to an annual Asset Management Plan ensuring internal processes for prioritisation and appraisal are in place, whilst the Information Technology spending programme is reviewed by the IT Strategy and Policy Committee before being approved by the Capital Planning and Budgeting Committee. The Library Committee oversees the Library's capital expenditure allocation.

A projection of the University's financial performance and position over ten years is prepared as part of the Capital Plan. The financial projections are based on a consolidation of financial projections established within each Faculty and a series of assumptions regarding the operations of other aspects of the University. These projections of operating income and expenditure are then combined with the capital requirements determined in the Capital Plan to establish an overall projection of the University's financial position and financing requirements over a ten-year period.

## → FINANCE COMMITTEE

The financial affairs of the University, both long-term and short-term, are considered by the Finance Committee appointed by Council. The Finance Committee works closely with the Vice-Chancellor and management to review all aspects of the financial performance of the University.

The Council receives reports from, and relies upon the advice of, the Finance Committee in relation to financial performance.

## → AUDIT COMMITTEE

The members of the University Audit Committee are appointed by Council and are chosen from the lay members of Council. The Audit Committee also has the power to co-opt an additional member from Senate.



The Audit Committee's principal task is to ensure that all financial statements released to the public, stakeholders, leaders or any regulatory body comply with accounting standards, are true and fair and are not misleading. The Audit Committee reviews the system of internal control throughout the University.

Risk management and internal audit activities are overseen by the Audit Committee. The University's risk management framework directs activities towards a high-level, process-based approach taking into consideration the external operating environment and including strategic, operational and financial risks. Risk management activities will focus on identifying control gaps in existing processes and systems, and on aligning and embedding the various processes so that risk-based decisions can be made on a consistent basis. The approach is based on the Australian/New Zealand Standard for Risk Management (AS/NZS 4360), and is guided by the HEFCE Audit Service (UK) Guidance for Risk Managers and the recently published Review of New Zealand Tertiary Education Institution Governance by Meredith Edwards.

The Audit Committee also oversees the relationship with the University's external auditors, Deloitte, on behalf of the Auditor-General. Deloitte is appointed by the Office of the Auditor-General for a three-year term. This appointment has just been renewed for a further three years. The Audit Committee receives regular reports on any matters which arise in connection with the performance of the external audit, including the adequacy of internal controls and the truth and fairness of the financial reports.

Internal audit is an integral part of the University's risk management framework. Certain internal audit services are contracted in from PriceWaterhouseCoopers for a three-year term. To provide an effective service as well as the required level of assurance on a wide range of issues, a "core" audit programme has been developed, consisting of "financial" audits and audit areas matching the expertise of the principal audit provider. Audit requirements not covered by the "core" programme will be resourced on a flexible, co-sourced basis, to allow drawing on the knowledge, skills and resources of both the University staff and specialist providers.

Central to the proposed approach is the development of a business-wide "risk based" audit plan, which considers all critical business issues, operational risks, risk management processes, compliance with key legislative requirements and the effectiveness of internal financial and operational controls.



### THE EDWARDS REPORT

Following the Review of New Zealand Tertiary Education Governance (May 2003) the University Council studied the Review and the recommendations of Professor Edwards. In

many cases the University already has in place the policies and procedures suggested in the Review.



### ETHICAL STANDARDS

The University of Auckland maintains high ethical standards for research and teaching involving animals and humans. The following three committees report directly to Council:

The University's Animal Ethics Committee and its sub-committees ensure that the protocols for use of animals in research and teaching are in accordance with legislative requirements.

The Biological Safety Committee assesses applications in accordance with the delegation by Environmental Risk Management Authority (ERMA) in order to identify all potential effects to people including researchers, the community and the environment. Applications are determined in accordance with the Hazardous Substances and New Organisms (HSNO) Act and any relevant supporting protocols issued by ERMA. In addition the Biological Safety Committee monitors ongoing work within the University and makes recommendations on containment issues as appropriate. The Committee has instigated a system for consultation with Māori.

The Human Participants Ethics Committee reviews all proposed research and teaching projects which involve human subjects, other than projects which require Regional Health Authority ethics approval, to ensure compliance with the highest ethical standards. In addition, this Committee provides advice and assistance to Council and the University community with respect to ethical standards and issues involving human subjects. The guidelines for the Committee were revised during 2003.

The Occupational Health and Safety Committee is a forum of nominated or elected management and staff representatives that enables staff and unions to communicate to management issues of interest and concern related to health and safety and to encourage staff participation in the ongoing maintenance and improvement of a safe and healthy environment. The Committee reports directly to the Vice-Chancellor. During 2003 Health and Safety management and reporting systems were updated.



### PROTECTED DISCLOSURES ACT

During 2003 the University was the subject of no disclosures under the Protected Disclosures Act 2000.



# OFFICERS OF THE UNIVERSITY AND BUSINESS DETAILS

(AS OF 31 DECEMBER 2003)

<b>CHANCELLOR</b>	<b>John Graham</b> MA
<b>PRO-CHANCELLOR</b>	<b>Hugh Fletcher</b> MBA <i>Stanford.</i> , BSc MCom
<b>VICE-CHANCELLOR</b>	<b>John Hood</b> MPhil <i>Oxf.</i> , BE PhD
<b>DEPUTY VICE-CHANCELLORS</b>	
Academic	<b>Professor Raewyn Dalziel</b> BA PhD <i>Well.</i>
Research	<b>Professor Tom Barnes</b> MSc PhD <i>UMIST</i> , FRSNZ
<b>PRO VICE-CHANCELLORS</b>	
Equal Opportunity	<b>Distinguished Professor Dame Anne Salmond</b> DBE, CBE, MA, PhD <i>Penn.</i> , FRSNZ
International	<b>Associate Professor Chris Tremewan</b> MA, PhD <i>Cant.</i> , MPA <i>Harv.</i>
Māori	<b>Adjunct Professor Michael Brown (Acting)</b> CNZM Hon LLD
Tamaki	<b>Professor Ralph Cooney</b> BSc PhD DSc <i>Qld.</i> , FRSNZ, FRACI, FNZIC
<b>DEANS</b>	
Architecture, Property, Planning and Fine Arts	<b>Associate Professor Michael Pritchard</b> BSc <i>Wales</i> , DipTP, MNZPI
Arts	<b>Professor John Morrow</b> MA <i>Cant.</i> , PhD <i>York (Can.)</i>
Business and Economics	<b>Professor Barry Spicer</b> BCom <i>Qld.</i> , PhD <i>Wash.</i>
Engineering	<b>Professor Peter Brothers</b> BSc BE, PhD <i>Colorado State</i> , MASME, MASHRAE
Law	<b>Professor Julie Maxton</b> LLB <i>Lond.</i> , LL.M. <i>Cant.</i> , PhD
Medical and Health Sciences	<b>Professor Peter Smith</b> MBBS BSc MD <i>Qld.</i> , FRACP, FRCPA
Science	<b>Professor Dick Bellamy</b> BSc NZ, MSc PhD, FRSNZ
<b>POSTGRADUATE DEAN</b>	<b>Professor Peter Jackson</b> PhD <i>Camb.</i> , ME, CEng, FIPENZ, FRAeS
<b>ASSISTANT TO THE VICE-CHANCELLOR AND REGISTRAR</b>	<b>Warwick Nicoll</b> BCom
<b>DIRECTOR OF ADMINISTRATION</b>	<b>Jonathan Blakeman</b> MPP <i>Well.</i> , BCom Dip LGA, FNZIM, CA
<b>UNIVERSITY LIBRARIAN</b>	<b>Janet Copsey</b> DipNZLS <i>Well.</i> , BA DipBus, FNZLIA

<b>CHIEF EXECUTIVE, AUCKLAND UNISERVICES LTD</b>	<b>John Kernohan</b> MSc, PhD <i>Boston</i>
<b>DIRECTORS</b>	
External Relations	<b>John Taylor</b> MA <i>Well.</i>
Finance	<b>Marin Matulovic</b> BCom, DipMan <i>Henley</i> , CTP, CA
Human Resources	<b>Doug Northey</b> PhD <i>Well.</i>
Information Technology Systems and Services	<b>Stephen Whiteside</b> BCom <i>Cant.</i> , CA, MNZCS
International	<b>Andrew Holloway</b> BA(Hons) DipEd <i>WAust.</i>
Planning	<b>Robert Felix</b> BSc <i>MIT</i> , MBA <i>Chicago</i>
Property Services	<b>Maurice Matthewson</b> BE NZ
Schools	<b>Colin Prentice</b> MA
Student Administration	<b>Wayne Clark</b> MEd, PhD <i>Pret.</i> , BA SA, HDipEd <i>Witw.</i>

<b>BUSINESS DETAILS</b>	
Bankers	Bank of New Zealand
Auditors	Deloitte – on behalf of the Auditor-General
Valuers	DTZ New Zealand Ltd

**ADDRESS DETAILS**

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# COUNCIL MEMBERS



**JOHN GRAHAM**

Chancellor  
MA  
*Minister of Education*



**DR JOHN HOOD**

Vice-Chancellor  
MPhil Oxf., BE PhD  
*Ex officio*



**PROF RAEWYN DALZIEL**

Deputy Vice-Chancellor (Academic)  
BA PhD Well.  
*Ex officio*



**HUGH FLETCHER**

Pro-Chancellor  
MBA *Stanford*, BSc MCom  
*Minister of Education*



**GREG TAYLOR**

MA  
*Minister of Education*



**ALISON THOM**

DipSocWk Well., MBA *Waik*  
*Minister of Education*



**G ROGER FRANCE**

BCom, CA  
*Appointed by Council*



**PETER MENZIES**

ME  
*Appointed by Council*



**JENNIFER GIBBS**

MA  
*Appointed by Council*



**JOHN MORRIS**

MA  
*Court of Convocation*



**LYN STEVENS QC**

BCL *Oxf.*, BA, LLB (Hons)  
*Court of Convocation*



**DR JILL HOLT**

MA PhD  
*Court of Convocation*



**MONIQUE CORNISH**

BSc, MSc *Oxf.*  
*Elected by Students*



**SCOTT KELLY**

BE  
*Elected by Students*



**PROF RICHARD FAULL**

BMedSc MBChB *Otago*,  
PhD DSc, FRSNZ  
*Elected by Academic Staff*



**PROF DIANNE MCCARTHY**

BA MSc PhD  
*Professor Elected by Senate*



**JANET COPSEY**

DipNZLS *Well.*, BA DipBus, FNZLIA  
*Elected by General Staff*



**ASSOC PROF KEN LARSEN**

PhL, STL *Rome*, MA PhD *Camb.*  
*Representative of Lecturers*



## SPOTLIGHT ON EQUAL OPPORTUNITIES AT THE UNIVERSITY OF AUCKLAND

The University of Auckland has a strong and unequivocal commitment to ensuring that talented individuals from all sectors of New Zealand society can participate and succeed in its academic programmes, across all disciplines, at all levels, as staff and as students.

We recognise that in the knowledge society, prosperity for individuals and the community rests heavily upon knowledge-rich activities. Māori, Pacific Islanders, women and low socio-economic groups must have equal opportunities in tertiary education to ensure the privileges that flow on from higher education can be enjoyed across all sectors of the community.

This year has been one of vigorous development in Equal Opportunities. A highlight for 2003 has been developing the Starpath, an exciting project that aims to ensure Māori, Pacific Islanders and students from low income backgrounds can fulfil their educational potential and gain access to superior skills and high income employment in proportion to their representation in the wider population.

This project is built upon initiatives that are rigorously tested to ensure they bring about optimal outcomes for students. At each successive critical transition point in the student pathway, from early childhood to postgraduate study and transition to the workforce, robust initiatives will transform educational performance, building success upon success, in a co-ordinated, evidence-based sequence of programmes. The Starpath has been devised by leading scholars and practitioners in this area, including a number of eminent Māori and Pacific Island academics from The University of Auckland's partner institutions – Manukau Institute of Technology and the Auckland College of Education.

Another key achievement was the establishment of the Equal Opportunities Office in the East Wing of the University's ClockTower building. Equal Educational Opportunities, Equal Employment Opportunities and Disability Services now enjoy being located together as part of a team. It provides a central place for meeting, community liaison, project development and sharing resources, and is a focus for equity in the University. Additional benefits are co-location with the Schools Partnership Office.

An Equal Educational Opportunities innovation in 2003 was a finance evening to provide information on finance options at the University for Māori and Pacific Islands school leavers and their parents/guardians. Evaluations indicated that the event was most valuable for future planning.

Financial assistance is fundamental to equitable access and, in 2003, 44 Chancellor's Awards for Top Scholars were given.

Support for students after enrolment is a priority. The Ministry of Education Special Supplementary Grant provides funding for

tutoring/mentoring programmes (Tuakana) for Māori students and Pacific Islands students. Other funds, tagged for supporting students with disabilities, provide comprehensive services. Pass rates for students who have participated in these programmes have improved.

Leadership programmes for Māori and Pacific Islands staff were developed in 2003 and there were active programmes for women and leadership. Employment processes, especially promotions, are monitored to ensure policy is followed and bias avoided. Integrating Work, Life and Family policy and guidelines is an important part of equal employment activities.

Comprehensive support has been provided to 392 students with disabilities this year through Special Supplementary Grants administered by Disability Services. On an institutional level, the Equal Opportunities Committee is working with Disability Services to investigate a systematic and compulsory consultation process for disabled access on all new construction and renovation work at all campuses and leased buildings of the University.

In 2003, three awards were provided for the first time for outstanding achievements of equity objectives in the University.



The Office is led by the Pro Vice-Chancellor (Equal Opportunity), **Dame Anne Salmond**, who is also a Distinguished Professor of Māori Studies and Social Anthropology. She studied Anthropology in New Zealand and the United States (at the University of Pennsylvania), and became a lecturer in Anthropology and Māori Studies at Auckland in 1971. Since then she has written a number of award-winning

books on Māori life and cross-cultural history in New Zealand and the Pacific. The most recent is *The Trial of the Cannibal Dog: Captain Cook in the South Seas*, on the impact of Polynesia on Captain Cook's three Pacific voyages, published by Penguin UK, Penguin NZ and Yale University Press. She has received numerous awards and academic honours. In 2003 she was selected by the University of Canterbury to deliver the Macmillan Brown Lectures and was awarded a Marsden grant to pursue her work on cross-cultural exchanges in exploration.

Dame Anne believes that the philosophy of a "fair go" is one of the finest elements in Kiwi culture. In a knowledge society, educational achievement opens up many opportunities, allowing individuals to enrich their lives and fulfil their aspirations. At present, too many gifted young people from disadvantaged backgrounds experience failure and frustration in the education system. Turning this around, and unlocking the creative potential of these individuals, is one of the most exciting challenges in New Zealand at present.

The Faculty of Science, SPIES (South Pacific Engineering Students) network in the Faculty of Engineering, and the Tuakana Tutor/ Mentoring Programme in the Faculty of Business and Economics were the recipients. The awards are intended to raise awareness of innovation and successful practices, and to reward high achievement.



The SPIES network has been overseen by **Te Kipa (Kepa) Morgan** whose iwi affiliations are Ngati Pikiao, Ngati Kahungunu and Kai Tahu. He has worked to discover why pre-European Māori used certain materials and constructions and to find ways to adapt existing technologies to specific Māori needs. His research has focused on developing the techniques of "indigenous engineering" for modern applications.

Kepa joined the university as a lecturer in 2000, and is now Associate Dean (Māori) for the Faculty of Engineering. He has ensured that services for Māori and Pacific students have grown and is currently employed to provide policy advice to the Faculty and manage a team of staff who are responsible for Māori and Pacific student recruitment, retention and support. Kepa has had a key role in supporting Māori and Pacific students complete their Engineering degrees. This has included acting as a go-between with University staff, and participating in the recruitment activities that won the SPIES network an Award for Excellence.

#### 2003 EFTS ENROLMENTS BY GENDER AND ETHNICITY

Group	2003	2002	2003% EFTS	2002% EFTS
Māori	1,366	1,373	5.1	5.4
Pacific Island	1,688	1,621	6.3	6.3
Asian	10,166	9,194	37.6	35.9
European/Pakeha	10,756	10,873	39.8	42.5
Other	1,328	1,186	4.9	4.6
Undeclared	1,704	1,357	6.3	5.3
<b>Total</b>	<b>27,008</b>	<b>25,604</b>	<b>100.0</b>	<b>100.0</b>
Male	12,657	12,077	46.9	47.2
Female	14,351	13,527	53.1	52.8
Female students in:				
Engineering	425	414	21.1	21.3
Science	3,139	3,029	46.7	45.8
Physics	107	106	24.7	24.8
Computer Science	265	306	24.8	25.4
Mathematics	349	363	38.6	37.7

<sup>1</sup> EFTS represents equivalent full time students



A highly successful role model is **Efeso Collins**, the University's Community Liaison Officer in the Schools Partnership Office. Efeso is the youngest of five children and his parents came to New Zealand from Samoa in the 1960s in the hope of finding better opportunities for themselves and their children. Efeso often talks about the

sacrifices that his family made for him to study at university and this is a constant reminder of how much they have given in order for him to be where he is today. A former student of Tangaroa College in Otara, he has completed a masters degree (hons) in education policy and is considering a PhD that will look at how young Samoan men do at university. His job is to "inspire" young Pacific Islands people to aim for the skies and consider this university as a place to study. He is very passionate about education.

He loves to see people excel in all that they do and encourages them to become everything they've dreamed of being.

The Equal Educational Opportunities team has a strong programme for inspiring and advising students from groups that are under-represented in the University. This includes school visits and campus-based activities. The team is focussing on two areas: one on Year 10 Māori, Pacific Islands and women students (fourth form), to encourage them to take relevant courses while still at school that will prepare them for Science, Technology, Engineering, Architecture and Medicine; and a second focus on the same target groups at Year 12 and 13 (sixth and seventh form) to attract them to enrol at The University of Auckland. University students participate as role models in these activities and in the orientation events to familiarise new students with the University.

#### SENIOR FEMALE, MĀORI, & PACIFIC ACADEMIC STAFF FTE, 2002 & 2003

Level	Female	2003		2002		
		Māori	Pacific Islands	Female	Māori	Pacific Islands
Professor	32.0	3.5	1.0	24.3	3.8	0
Assoc. Professor	38.3	2.5	1.0	34.4	1.0	1.0
Senior Lecturer	163.5	13.1	4.6	158.0	8.5	3.3
<b>Total</b>	<b>233.8</b>	<b>19.1</b>	<b>6.6</b>	<b>216.7</b>	<b>13.3</b>	<b>4.3</b>

All target group academic staff numbers have increased, but the most pleasing result was the overall increase in senior positions. Through appointment and promotion there are now six more Māori academics at senior lecturer and above, seven more women professors, and four more women associate professors.



# TEACHING AND RESEARCH REPORTS



## ARCHITECTURE, PROPERTY, PLANNING AND FINE ARTS

### ARCHITECTURE

During 2003, the School implemented recommendations from prior reviews, which included a new set of learning objectives for design courses, adjustments to Practice and Management courses, a reorganisation of courses in Construction and Structure, and introduction of two new core requirements in urban design and architectural history. A subsequent inspection by an accreditation panel confirmed the ongoing international accreditation of the BArch programme.

Adjunct Professor Rewi Thompson has developed a cultural framework for advancing Māori and Pacific Islander support and study in the School, established with the help of a Special Supplementary Grant. Recommendations will be implemented in 2004.

Over \$300,000 in external research funding was obtained from a variety of sources for a wide range of research projects.

Books published during the year were: Kit Cuttle, *Lighting by Design* (Oxford, Architectural Press), and Professor Errol Haarhoff, *Guide to the Architecture of Central Auckland* (Auckland, Balasoglou Books).

Pip Cheshire was appointed Adjunct Professor and was given the Distinguished Alumni Award by The University of Auckland Alumni Association.

Students were again successful in competitions. Two final-year students, Nicholas Dalton and Jaquie Chan, won awards at the NZIA/Dulux Student Travel Prize and Claire O'Shaughnessy and Luke Douglas were joint winners of the Cavalier Bremworth Award for Unbuilt Work. Adjunct Professor Rewi Thompson with student team members had the winning entry in the Tamaki Drive Ideas Competition, published in *Architecture NZ*.

### PROPERTY

The BProp degree was accredited by the Royal Institute of Chartered Surveyors in the UK and also by the New Zealand Property Institute and the Valuers Registration Board. The department's first PhD in Property was awarded, and two MProp students successfully completed their studies. Student numbers in Parts I and II of the BProp increased by more than 50 per cent.

Dr Laurence Murphy was appointed Associate Professor and Head of the department in July 2003 and Dr Fred Forgey was appointed to a Senior Lectureship. The first issue of the department's newsletter, *Property Connect*, was released in

July. Seminars sponsored include "How traditional property analysis fails us", given by Dr Austin Jaffe, Professor of Business Administration, Pennsylvania State University, and "Capital city? Property processes and Auckland's changing built environment", given by Associate Professor Murphy.

### PLANNING

Staff and students continued the ongoing partnership with Mayfield Primary School in Otara, and Associate Professor Tom Fookes and second-year studio students worked with the Grey Lynn community to address their concerns about the impacts of residential intensification. Staff were very successful in securing major Foundation for Research, Science and Technology (FoRST) subcontracts as well as several research projects for central government. A highlight was the publication of a book, co-authored by Marjorie van Roon and Stephen Knight, *The ecological context of development*. A Gold Medal from the New Zealand Planning Institute was awarded to Professor Jenny Dixon and a children's design guide prepared by the Third Year Studio Class received a special award from the Auckland Branch of the New Zealand Planning Institute.

Tony Jackson, from the School of Town and Regional Planning at the University of Dundee, was the first visitor to the department's Environmental Impact Assessment Unit. The department successfully hosted the annual meeting of the Australian and New Zealand Planning Schools Association, with 35 participants from around the region.

### FINE ARTS

An academic restructure of the Elam School of Fine Arts' management led to the establishment of a school executive, and two Associate Heads of School. The DocFA regulations and admissions procedure were revised, and seminars introduced. Benchmarking was introduced to assess the BFA and MFA qualifications. Significant individual research achievements by staff included Michael Parekowhai's work for the Britomart railway station commission.

Students continued to achieve significant national awards and success in competitions. Notable wins were the Mazda Emerging Arts Award, first prize at the Waikato Art Competition and four of the seven Pan Print Awards for 2003. The School organised the "Up Front" foyer art exhibition, which was critically well-received and was an important contribution to the first Auckland Festival.

## → ARTS

The Faculty of Arts currently comprises 28 subject departments and research centres covering areas as diverse as Classics and Ancient History, Anthropology, Sociology, Education and Teacher Training, and Music, as well as the teaching of 19 languages. Performance subjects include Jazz, Theatre and Dance.

From January 2004, the School of Music and School of Creative and Performing Arts will migrate to the new Faculty of Creative Arts and Industries, along with many performance subjects. The proposed amalgamation between Auckland College of Education and The University of Auckland in 2004 will also have implications for the Faculty of Arts, as the School of Education will form part of a new Faculty of Education.

In 2004 the Faculty of Arts will aim to build on its international eminence in teaching, research and creative works across the full range of its disciplines, encompassing the study of culture, society, language and literature. The new Dean of Arts, Professor John Morrow, appointed in April 2003, will lead this period of change and development.

The Faculty of Arts is continuing to attract increasing numbers of international students: this year 513 equivalent full-time international students (EFTS) enrolled with the Faculty, with about one third in the School of Asian Studies and the Department of Applied Language Studies and Linguistics. The English Language Academy, which provides support with learning in English for international and permanent resident students, has continued to enhance its offerings.

Of the 6,380 international and domestic EFTS in the Faculty, 1,280 are studying at postgraduate level. Departments where growth has been experienced, and is forecast to continue, include the School of Asian Studies, the Department of Applied Language Studies and Linguistics (DALSL), Film, Television and Media Studies (FTVMS), and Philosophy.

The number of students studying University of Auckland courses in Arts at Manukau Institute of Technology is at 167 EFTS (an increase of around 12 per cent on 2002).

It was the first year that Asian Studies was taught as a major, contributing to significant growth for the School of Asian Studies. The first cohort of students taking the BEd (TESOL) under the University's agreement with the Malaysian Ministry

of Education was enrolled in 2003 and is expected in Auckland in 2005. In 2003 the BA(Hons) in Pacific Studies was offered, the BEd(Tchg) was restructured, and the Health and Social Sciences programme was redesigned and approved for 2004 to be renamed Social Science for Public Health. It will ensure closer ties with the Faculty of Medical and Health Sciences.

The Faculty has evaluated the effectiveness of equity initiatives, particularly with participation in the Tuakana Programme. Initiatives have been developed for 2004 aimed at increasing and coordinating the effective mentoring and academic support for targeted students.

Professor Susan Geertshuis was appointed Director of the Centre for Continuing Education and Professor of Lifelong Learning in 2003 and led the development of a five-year strategic plan for the centre.

The Faculty has continued to make excellent progress in its research and creative work activities. As at the end of December 2003, income from external grants and research and development contracts totalled \$19.5 million and internal research grants totalling more than \$2.5 million were awarded to 51 staff.

A large proportion of the growth in external revenue continued to come from funding for the National Institute of Research Excellence for Māori Development and Advancement (Nga Pae o te Maramatanga – Horizons of Insight), substantial Ministry of Education research contracts to the School of Education, and revenue generated from the English Language Academy. There were also five new Marsden Fund awards, as well as new grants from FoRST and the Health Research Council (HRC). Of note were Marsden research grants to Professor Terry Sturm (English) for a project on the writings of Allen Curnow, and to Professor Jack Vowles (Political Studies) for a campaign media content analysis study.

**IN 2004 THE FACULTY OF ARTS  
WILL AIM TO BUILD ON ITS  
INTERNATIONAL EMINENCE IN  
TEACHING, RESEARCH AND  
CREATIVE WORKS ACROSS THE  
FULL RANGE OF ITS DISCIPLINES**



Associate Professor Julie Park (Anthropology) received an HRC grant for her project on the political ecology of TB in New Zealand.

In 2003, the Faculty of Arts was awarded 16 Top Achiever Doctoral Scholarships. Jacob Edmond, a doctoral student from the Comparative Literature Programme, was awarded a Fulbright Graduate Award to undertake post-doctoral research in comparative literature at Harvard University. The Royal Society of Edinburgh's International Exchange Programme awarded funding to Makere Harawira-Stewart from the School of Education to pursue a post-doctorate collaborative cross-cultural research programme at the University of Glasgow.

Professor John Hattie and his Assessment Tools for Teaching and Learning (asTTle) team won the Computerworld Excellence Awards for the use of IT in Education, and Professor Graham Smith (Education) received the TeTohu Pae Tawhiti Award, which recognises researchers making a significant contribution to Māori education. The Principals Centre held a four-day residential session for 190 new school heads from all over New Zealand. Dr Helen Timperley (Education) received considerable acclaim for her report entitled "Sustainability of professional development and literacy". Early Career Research Awards went to Dr Tracey Adams (SELL - French) for Medieval French Ars d'Aimer, and Dr Jian Yang (Political Studies) for the Kyoto accord and the international environmental regime.

The Faculty maintained its record of publications throughout 2003, and produced many significant books and editions. The film *Whale Rider*, based on the novel by Witi Ihimaera, Associate Professor (English), received wide public and critical acclaim. Professor Albert Wendt (English) had his first play, *The Songmaker's Chair*, performed to sell-out houses. Distinguished Professor Dame Anne Salmond launched her new book, *The Trial of the Cannibal Dog – Captain Cook in the South Seas* (Allen Lane, Penguin), and gave the MacMillan Brown Lectures for 2003.

A significant programme of events ran throughout the year, designed to profile the diversity of the departments and their links within the University and the wider community. A highlight was the Poetics of Exile Conference, organised by Associate Professor Mike Hanne (Centre for Comparative Literature), which brought together eminent academics, creative writers, musicians and artists from 42 countries. It included almost 200 papers as well as art exhibitions, book launches, movie showings, and an evening of readings by exiled poets, interspersed with international music. Another

significant event was the 15th NZ Asia International Conference: Asia: Images, Ideas, Identities, organised by the NZ Asia Institute and School of Asian Studies. Over 150 people from 12 countries attended. The Department of Art History hosted a successful two-day symposium of papers by renowned cultural theorist Mieke Bal, Professor of Theory Literature at the University of Amsterdam.

The \$6 million Fale Pasifika complex now under construction will be the biggest of its kind in New Zealand. The blessing and ground-breaking ceremony for the complex in August was a moving and impressive event, attended by the Prime Minister. The complex will be a landmark building for The University of Auckland, and community involvement in this building has been integral to its success.

Significant development of the technology used in Faculty teaching and learning has continued. This year, 67 per cent of Arts courses actively used Cecil (the University's Learning Management system) for flexible learning resources, and a continued increase is anticipated. Around 100 courses have dedicated websites and the newly developed Faculty website includes a content management system, enabling simple on-line editing of web pages and allowing teaching staff to enhance and extend on-line course content. Flexible Learning Plan case funding (2002-2004) will provide technical assistance to department-based course-related projects. Infrastructure developments include the establishment of an equipment pool and extension of services in web design, digital media and Cecil support within the Multimedia Teaching Support Unit.

A number of new professorial appointments were made in the Faculty in 2003: Professor Wystan Curnow in English; Professor Nick Perry to a chair in Film, Television and Media Studies; Professor Jim Miller to a chair in Linguistics; Professor Trish Stoddard to a chair in Education (Classrooms and Schools); and Professor Michael Scriven to a chair in Education (Evaluation). The first holder of the Keith Sinclair Chair in History is Professor James Belich, who is held in high esteem internationally as an historian. Professor Belich also gave the tenth memorial Sir Keith Sinclair Lecture. A total of 19 Māori staff and three Pacific Islands staff were appointed to positions within the Faculty.

Endowment and advancement funding programmes have been developed, along with a variety of other initiatives (scholarships, gifts etc) that profile and support the Faculty. In 2003, \$763,309 was received in grants, gifts and endowments benefiting, among others, the Fale Pasifika and School of Creative and Performing Arts.

## → SCIENCE

A highlight for 2003 in the School of Biological Sciences was the establishment of the Bioinformatics Institute, a joint venture between the University and AgResearch. Professor Allen Rodrigo was appointed as inaugural director. An HRC programme grant was awarded to Professor Garth Cooper, and New Enterprise Research Fund (NERF) grants were won by Dr Susan Turner and Professor Ted Baker. Protomix raised \$20 million from private investors and won two Westpac High Tech Awards. The company's lead drug "Lazarin" has been fast-tracked to phase three clinical trials by the USFDA. Marsden grants were won by Dr Alok Mitra, Dr Dianne Brunton, Associate Professor Scott Baker and Professor Paul Rainey.

Stage two of the Chemistry Building refurbishment was completed, providing new staff offices, an administration area, and instrument and research laboratories. Planning for stage three of the refurbishment is underway. Construction of the wine research facility in the new Engineering and Science Research Centre at Tamaki was completed and teaching of the new postgraduate degree in Wine Science commenced. Awards and honours for Chemistry staff included Marsden grants to Dr Vittorio Caprio and Professor Peter Schwerdtfeger, and the election of Professor Margaret Brimble as President of the International Society for Heterocyclic Chemistry. She was also awarded a James Cook Fellowship.

The Computer Science Department shifted to new premises in the Science Centre extension building early in 2003, providing additional laboratory and graduate student research space and allowing City Campus staff to relocate together. The Software Engineering programme, jointly taught by Computer Science and Electrical and Electronic Engineering, entered its fourth year. Demand for this programme remains strong. A Marsden grant was awarded to Associate Professor Bakh Khoussainov and Dr Andre Nies for "Computability, complexity, and randomness", and another to Associate Professor Gillian Dobbie for "A mathematical foundation for semi-structured data".

Four staff from the School of Geography and Environmental Science received FoRST funding and two staff received Marsden funding. Professor Richard Le Heron was appointed as a Fellow of the Royal Society of New Zealand, and Professor Warren Moran was appointed as professor emeritus. Dr Mere Roberts was honoured as an Officer of the New Zealand Order of Merit for services to Māori and science.

## STAGE TWO OF THE CHEMISTRY BUILDING REFURBISHMENT WAS COMPLETED, PROVIDING NEW STAFF OFFICES, AN ADMINISTRATION AREA, AND INSTRUMENT AND RESEARCH LABORATORIES. PLANNING FOR STAGE THREE OF THE REFURBISHMENT IS UNDERWAY.

There were several Geology Department studies, led by Dr Brian Ricketts of ground water hydrology in the Auckland region, and geotechnical studies led by Dr Warwick Prebble. Dr John Cassidy received an EQC Research Foundation grant "Eruption patterns in monogenetic volcanic fields", and with Associate Professor Corinne Locke and students produced the first high-resolution geophysical image of the tectonic structure of Auckland. Research progressed in ash deposits in the North Island, seismic events and fluid flow and epithermal gold mineralisation in the Coromandel Peninsula, and on the glacial history of Antarctica and Tasmania.

Members of the Mathematics Department who received Marsden funding include Dr Paul Bonnington, Professor John Butcher, Professor Marston Conder, Dr Allison Heard, Dr Mike Meylan, Dr Geoff Nicholls and Associate Professor Jozef Siran. Six department staff members were awarded funding from the New Zealand Institute of Mathematics and its Applications, while Dr Rod Gover was awarded a prestigious Maclaurin Fellowship. Dr Hannah Bartholomew and Associate Professor Bill Barton received a New Zealand Council for Education Research grant. Dr Rod Gover also received the New Zealand Mathematical Society's research award for 2003. Professor Boris Pavlov has been granted a US patent for a quantum electronic switching device.

Two new staff members have been appointed to Marine Science's Leigh Marine Laboratory: Dr Guy Carton obtained a FoRST grant to study reproductive pheromones in snapper and Dr Mark Costello is continuing Leigh's well-recognised research in the ecology of marine reserves. There was a substantial donation to staff endowment positions and work continued on plans for redevelopment of the Laboratory. The Vice-Chancellor's Lecture Series in Marine Science provided another highlight, with very strong student, staff and



community interest in the series. Speakers were Dr Gregory Stone of the New England Aquarium, Professor John Montgomery, and Dr Lionel Carter from NIWA.

In 2003 the first cohort of optometrists entered the new two-semester programme Ocular Therapeutics. The Department of Optometry and Vision Science's drive to increase graduate student numbers continued with three candidates undertaking PhDs and a new MSc enrolment. Daniel Sun was awarded a Top Achiever's Doctoral Scholarship. Professor Michael Kalloniatis became Associate Dean (Research) for the Faculty of Science. Dr Keely Bumsted O'Brien was appointed lecturer and Dr Brendan O'Brien joined Professor Kalloniatis' Retinal Networks Laboratory as a research fellow. Both are from the Max Planck Institute for Brain Research and their appointments have attracted grant support from the HRC, the National Health and Medical Research Council (NH&MRC), Retina Australia and the New Zealand Optometric Vision Research Foundation.

Highlights for Physics included the award of the 2003 Max Born Prize and Medal of the Optical Society of America to Professor Howard Carmichael, and award of a Marsden grant to Professor Carmichael, Associate Professor Matthew Collett and Dr Scott Parkins for quantum optics research. An agreement to endow the Buckley-Glavish Chair in Physics has been signed. The donors wish to see the application of physics to the study of climate change. High energy physics at Auckland became formally affiliated with CERN (the European Centre for Nuclear Research). Two new academic staff, Dr Stephane Coen and Dr Stuart Murdoch, were appointed. Both will pursue experimental research in optoelectronics.

In the Department of Psychology postgraduate programmes in Speech Language Therapy, Applied Behaviour Analysis and Ergonomics were successfully launched on the Tamaki Campus, and the Tuakana programme for Māori and Pacific students continued to develop under the leadership of Erana Cooper. New staff appointments were made in Ergonomics, Industrial/Organisational, Social and Clinical Psychology. Staff and students received awards, most notably a James Cook Fellowship award to Associate Professor Russell Gray, the International Dissemination of Behaviour Analysis award to Professor Michael Davison, an Early Research Career Award to Dr Karen Waldie, and a Vice-Chancellor's Research Excellence Award to Dr Virginia Braun. Five graduate students were successful in gaining Bright Futures Scholarships. Rohan King was awarded a doctoral scholarship, either to Oxford or Cambridge Universities, endowed by the Woolf Fisher Trust.

Staff and students from the Department of Sport and Exercise Science started and continued funded research projects with the National Heart Foundation, the Neurological Foundation of New Zealand, Auckland Medical Research Foundation, the Australian Spinal Research Foundation as well as research in cooperation with AgResearch. The Auckland Gait Laboratory and the Auckland Cardiac Rehabilitation Clinic continue to work with referred patients.

The Stage One Introductory Statistics Teaching Team won The University of Auckland's first national Tertiary Teaching Excellence Award, which followed the award of two of the University's five Teaching Excellence Awards. Four workshops shared with the University community some of the technical expertise developed by the team. Professors Alastair Scott and George Seber were made honorary life members of the New Zealand Statistical Association. Professor Chris Wild became President of the International Association for Statistical Education and Dr Rachel Fewster won a Fast-start Marsden grant. Dr Yong Wang was appointed as a new lecturer in statistical computing. The department initiated and hosted the first New Zealand CensusAtSchool, with 18,000 primary and secondary school students participating, and the annual Year 13 Workshop at the Tamaki Campus drew 116 secondary school teachers.



## ENGINEERING

Undergraduate entry was capped for the first time, limiting enrolment to 550 new students. This necessitated a higher entry standard and maintained the Faculty's position of having the highest entry standard of any engineering school in Australasia. The first cohort in the new Software Engineering degree finished their studies, with 47 completing the requirements for graduation. The Software Engineering programme has now deployed a set of postgraduate offerings to accompany the undergraduate degree. Although undergraduate numbers are capped, the Faculty is looking to expand the postgraduate student cohort, especially those enrolled for research degrees, and it was pleasing to see significant growth in numbers in 2003.

The Electrical and Electronics Engineering Department changed its name to Electrical and Computer Engineering, to reflect its changed overall areas of interest. It now offers degrees in Electrical and Electronic Engineering, Computer Systems and Software Engineering. The Tamaki Engineering and Science Research Centre was completed and occupied by its first tenant, the Centre for Advanced Composite Materials, led by Professor Debes Bhattacharyya. The centre, while concerning itself with all composite materials technologies, has a major interest in wood processing, and will be a key participant in the Centre for Excellence in Wood Processing Education and Training (the Radi Centre). The Radi Centre is a joint programme of The University of Auckland, Waiariki Polytechnic in Rotorua and Forest Industries Training, and has received a major grant from New Zealand Trade and Enterprise and the Forest Industries Council.

Externally funded research activity grew and the number of applications submitted into 2003 funding rounds increased. Both of these show a pleasing expansion in the Faculty's research vigour.

Students performed well in a variety of University and international competitions. Students won or were placed highly in a diverse range of contests, including the Boston Consulting Group Australasian Business Strategy Competition, the Trans-Tasman Siemens Prize for Innovation, Fletcher Construction Management Competition, the US Society of Advanced Materials Processing international competition for model bridge design using composite materials, the National Business Review business simulation competition, and the Australian Warman competition for mechanical design. Within the University, Faculty students performed well in both the Postgraduate Poster Competition and the spark\* new business initiative.

Staff recognised for their achievements include Associate Professor Andrew Pullan (awarded a James Cook Fellowship), Professor David Ryan (made a Fellow of the Royal Society of New Zealand) and Professor Geoff Duffy (awarded the Silver Medal of the Royal Society of New Zealand in recognition of his lifetime service to the advancement of science and technology). Dr Stephen Coleman, Professor Bruce Melville, Associate Professor Patrick Browne and Dr Sing Kong Nguang all received Marsden Fund grants.

An atrium and new lecture theatre were completed and formally opened by former Vice-Chancellor, Sir Colin Maiden. They have made a significant difference to the atmosphere in the Faculty, with the lecture theatre providing a much-needed state-of-the-art facility and the rest of the complex creating student gathering places. In further moves aimed at resolving the Faculty's space issues, the Engineering Science department will be relocated to 70 Symonds Street and the Electrical and Computer Engineering Department will be moved across the road to Building 301. Following the scheduled completion of these moves in March 2005, the existing complex will be refurbished.

**THE ELECTRICAL AND ELECTRONICS ENGINEERING DEPARTMENT CHANGED ITS NAME TO ELECTRICAL AND COMPUTER ENGINEERING, TO REFLECT ITS CHANGED OVERALL AREAS OF INTEREST. IT NOW OFFERS DEGREES IN ELECTRICAL AND ELECTRONIC ENGINEERING, COMPUTER SYSTEMS AND SOFTWARE ENGINEERING.**



## MEDICAL AND HEALTH SCIENCES

In 2003, the Faculty continued to promote the accreditation of its professional programmes, investment in and evaluation of teaching and learning, and increased research momentum. Its revised mission is “to provide a globally-linked focus for teaching, learning and research in the medical and health professions and sciences, unique to New Zealand and setting a regional and international standard”.

Construction of the School of Population Health at the University’s Tamaki Campus began during 2003 in order to meet the challenges of a changing health environment. The School will focus on developing interventions that can be applied across populations, and that lead to measurable improvements in health. Using new thinking, structures and technology, this building will provide a state-of-the-art teaching and research environment. The Tamaki location will increase opportunities for interdisciplinary and interfaculty initiatives with members of the Faculties of Science and Business and Economics, who are already located there. An internationally renowned expert on a range of population health issues, Professor Alistair Woodward, was appointed as the new Head of School.

A \$1.7 million donation from the Rawhiti Trust was received to establish a new clinical skills centre on the Mercy Hospital site as a joint collaboration between the Faculty and Mercy Ascot Hospital. This initiative, led by Professor John Windsor, will provide New Zealand with a world-class training facility.

The long-standing relationship between Pfizer and the Faculty was reaffirmed with the renewed research contract that will extend the work of the Auckland Cancer Society Research Centre into the field of antibiotic discovery.

It was another successful year for the Faculty of Medical and Health Sciences in terms of research grants. The 2003 Health Research Council (HRC) grant round saw a programme grant awarded to Professor Ian Reid for bone and calcium metabolism research and the extension of Professor Richard Faull’s Neurodegenerative diseases programme. Thirteen project grants were awarded over a broad subject range to: Dr Robert Young (Medicine), Dr Deborah Young (Molecular Medicine), Mr Mark Donaldson (Ophthalmology), Associate Professor Wayne Cutfield (Liggins Institute/Paediatrics), Associate Professor Bruce Arroll (General Practice and Primary Health Care), Dr Ngaire Kerse (General Practice and Primary Health Care), Maryanne Baker (General Practice and Primary Health Care), Dr Rhys Jones (Māori and Pacific Health), Professor Colin Mantell (Māori and Pacific Health),

Dr Marewa Glover (Social and Community Health), Dr Mary Seddon (Epidemiology and Biostatistics), Dr Srdjan Vljakovic (Audiology), and Dr Paul Donaldson (Physiology).

There were six successful Marsden grants awarded Dr Larry Chamley (Obstetrics and Gynaecology), Dr Kathy Mountjoy (Physiology), Dr Michelle Glass (Liggins Institute/Pharmacology), Professor Janusz Lipski (Physiology), Associate Professor Gary Housley (Physiology), and Associate Professor Martin Wild (Anatomy with Radiology). Professor Kathryn Crosier (Molecular Medicine and Pathology) was awarded a NERF grant.

The Faculty collaborated with the Breast Cancer Research Trust in 2003 to establish the Breast Cancer Research Trust Fellowship. The Fellowship will be supported by \$220,000 raised in the 2003 breast cancer awareness campaign which was marketed by fashion retailer Glassons. The Fellowship’s collaborative structure will aim to provide a powerful knowledge base for breast cancer research in New Zealand, building on existing strengths in oncology research. The Faculty has recently advertised the position of Breast Cancer Research Trust Clinical Research/Senior Research Fellowship in Breast Cancer.

The Faculty was awarded grants from the Wellcome Trust/HRC/WHMRC Pacific to fund two unique projects in the Asia Pacific region. These include the traffic-related injury in the Pacific (TRIP) project, and the Pacific OPIC study – (a four-country study of obesity prevention in communities).

One of the Centres of Research Excellence (CoRE) in the Faculty, the National Research Centre for Growth and Development, is based within the Liggins Institute and began operating in 2003.

Commercial income through UniServices grew significantly with approximately \$30 million revenue. The Clinical Trials Research Unit is undertaking one of the largest ever cardiovascular prevention trials, involving over 30,000 patients. Other major research projects include the Auckland Regional Community Stroke (ARCOS) study, the Global Burden of Diseases Comparative Risk Assessment and STOMP (the Stop Smoking with Mobile Phones Trial). Research grants received in 2003 totalled \$2 million, with a further \$914,000 received for ONTARGET.

The Faculty continued to strengthen its reputation for high quality teaching. Student numbers increased between 2002 and 2003, especially in undergraduate programmes. Rapid growth in enrolments has contributed to the need for improved facilities for students and staff. Redevelopment of the Grafton

Information Commons, Café and Student Centre began during 2003 and will provide an attractive environment for working, socialising and studying from the beginning of semester one 2004.

The Certificate of Health Sciences continues to provide a successful introduction to tertiary study for Māori and Pacific students. During 2003, Whakapiki Ake, the Māori student recruitment project, was launched. The aim of the project is to form associations with selected schools with high Māori rolls, and actively to recruit Māori students to this faculty. Twenty North Island schools have “signed up” to the “Whakapiki Ake” recruiting strategy and will support Māori students interested in health to guide them towards university study.

Te Wiki o te Hauora Māori/Māori Health Week was run for the second time in 2003. All second-year students of Nursing, Pharmacy and Medicine explored clinical scenarios reflecting the realities of Māori health. The days began with Te Reo classes and moved onto analysis, preparation and presentation of an inter-professional health strategy.

The Bachelor of Nursing was successfully accredited by the Nursing Council during 2003, and also completed a graduating year review. The feedback from these reviews was positive, with the Nursing programme being congratulated for a progressive programme that meets international standards. The first group of BNurs (Hons) students completed in 2003.

With the first cohort of Bachelor of Pharmacy students completing their qualification in November 2003, preparation is under way for accreditation of the undergraduate Pharmacy degree by the Pharmaceutical Society in 2004. The BSc (Hons) in Biomedical Science is proving highly attractive to able science students and has resulted in significant enrolments and a high progression rate into PhD study.

Postgraduate teaching and research students continue to play an important role in the Faculty. A review of the use and development of flexible learning and technology within the Faculty was performed during 2003 and has resulted in important changes. For the first time, the Faculty offered the University of New South Wales's Graduate Certificate in Clinical Education for clinical teachers during 2003.

Many staff were recognised for their achievements in 2003:

The 2003 New Years Honours list saw both Professor Innes Asher of the Faculty's Paediatric Department and Professor Bruce Baguley (Auckland Cancer Society Research Centre) appointed as Officers of the New Zealand Order of Merit (ONZM), whilst Dr Peter Rothwell, former Head of the Waikato

Clinical School, was appointed a Member of the New Zealand Order of Merit (MNZM).

Professor Jane Harding (Liggins Institute) and Professor Garth Cooper (School of Biological Sciences), were jointly awarded the 2003 New Zealander of the Year by *North & South* magazine. Professor Richard Faull (Anatomy with Radiology) was also named as one of several New Zealanders of the Year in 2003 by the *New Zealand Herald*.

Professor John Windsor of the Faculty's Department of Surgery was promoted to professor in 2003.

Distinguished Professor Peter Gluckman (Liggins Institute) was appointed as foundation president of the International Society for the Developmental Origins for Health and Disease, and was also appointed chair of the World Health Organisation (WHO) strategic planning group on optimising fetal development.

Associate Professor Marie Dziadek (Liggins Institute) was appointed to the Authority of ERMA (Environmental Risk Management Authority) New Zealand in 2003.

Paula Renouf of the School of Nursing became New Zealand's first nurse prescriber – the first nurse legally able to prescribe medication to patients.

The 2003 Sir Charles Hercus Fellowship in Health Research from the Health Research Council was awarded to Dr Thomas Proft (Molecular Medicine and Pathology) from the School of Medical Sciences.

Other awards received in 2003 include the Butland Distinguished Teaching Award, which went to Professor John Shaw, Head of the School of Pharmacy; the Dennis Pickup Clinical Teaching Award which went to Dr Jon Simcock (Medicine), Ms Jane Bebbington (Nursing) and Dr David Jamison (Paediatrics); and the Ian Houston General Staff Award which went to Elaine Marshall from the Auckland Cancer Society Research Centre.

**CONSTRUCTION OF THE  
SCHOOL OF POPULATION  
HEALTH AT THE UNIVERSITY'S  
TAMAKI CAMPUS BEGAN  
DURING 2003 IN ORDER TO  
MEET THE CHALLENGES OF A  
CHANGING HEALTH  
ENVIRONMENT.**



## BUSINESS AND ECONOMICS

The Faculty is actively pursuing its Agenda for Action based on a forward-looking vision of an enterprising, research-led business school that makes a significant contribution to New Zealand's competitiveness and to the capacity of its people, enterprises and organisations to create wealth. The objectives are to strengthen underlying disciplinary teaching and research in business and economics and to build multi-disciplinary programmes of teaching and research in entrepreneurship, innovation and technology management; digital enterprise; Māori and Pacific Island business development; global business development; economic and regulatory policy; health management and health informatics; leadership and governance. The Faculty is doing this against a backdrop of significant national debate and concern over New Zealand's economic performance and a strong focus on how New Zealand can best build a knowledge society and a growth economy.

Under the Partnerships for Excellence agreement, the Government has committed to matching funds (up to \$25 million) raised from private and business sources for building a world-class Business School in Auckland. The University and the Faculty have made considerable progress, and by year end the University Council had claimed \$16.7 million. Further claims are in the process of completion.

Refurbishment of the west wing of the Old Choral Hall has been completed to accommodate the Business School's consolidated postgraduate and research operations, and expansion and refitting of Commerce B for the School's student centre began in November 2003. Significant progress has been

**UNDER THE PARTNERSHIPS FOR EXCELLENCE AGREEMENT, THE GOVERNMENT HAS COMMITTED TO MATCHING FUNDS (UP TO \$25 MILLION) RAISED FROM PRIVATE AND BUSINESS SOURCES FOR BUILDING A WORLD-CLASS BUSINESS SCHOOL IN AUCKLAND.**

made in the design and construction of the Faculty's new building, with site preparation and excavation started in November 2003. Completion and occupation of Levels 0 and 1 are planned for December 2005, with occupancy of the tower expected during 2006.

There has been considerable activity in innovation, entrepreneurship and business growth. Key achievements include the introduction of programmes and courses to build a culture of entrepreneurialism, involvement with high schools, links with the University of Cambridge Entrepreneurship Centre and Mt Eliza Business School through the ICEHOUSE, and an increasing focus on Māori and Pacific Island business.

A major research achievement was the formation of the New Zealand Leadership Institute, designed to harness the energy, ideas and momentum of the Knowledge Wave 2003 Leadership Forum. Others include a \$1.4 million FoRST grant for Seafood Research and a \$230,000 Hewlett Packard grant for initiatives to enhance the study and use of mobile technologies in teaching and learning environments. The Centre of Excellence in Energy was launched, with funding of \$3 million provided for a chair in Energy Economics and postdoctoral and postgraduate scholarships. The University of Auckland Case Centre was launched to provide opportunities for staff and postgraduates to contribute to business education in New Zealand. The growth in confirmed readership of *The University of Auckland Business Review* to 49,000 makes this the largest business journal of its type in New Zealand.

Dr Alan Jackson, Boston Consulting Group's Managing Partner Australasia, was appointed as the Business School's Sir John Logan Campbell Executive in Residence for 2003 and Dr John Small (Head of the Department of Economics) was appointed to the High Court as one of three new lay members. Dr David Sundaram received a University of Auckland Teaching Excellence Award and Dr Christine Woods was awarded one of the Vice-Chancellor's Best Doctoral Thesis Awards. Professor Michael Myers was appointed as Associate Dean (Postgraduate and Research) and Dr Manuka Henare was appointed as the first Associate Dean (Māori and Pacific Development). Professor Wendell Dunn was appointed to the Foundation Chair in Entrepreneurship, and Professor Steven Cahan was appointed to the chair in Financial Accounting.

Five Enterprise Scholarships were awarded in the Business School during 2002/2003, and two out of three Rhodes Scholarships available to New Zealanders were won by Business School graduates. The Faculty's team of postgraduate students won the Boston Consulting Group Case competition in the New South Wales regionals and then took the first runner-up position in the Australasian competition against 30 Australian universities.

There has been considerable activity with respect to innovation, entrepreneurship and business growth. Programmes and courses that are helping to build a culture of entrepreneurialism include "Creating wealth through technology, biotechnology and bio-Entrepreneurship", "connector\*", and "Inventing for commercial success" (for the Inventor's Trust). Additionally, the Business School, together with its partners in the ICEHOUSE (and major sponsors including Auckland UniServices, ASB Bank, New Zealand Trade and Enterprise, The Edwards Charitable Trust) provided considerable support and assistance to the Postgraduate Students Association (PGSA) to organise and run spark\*, The University's very successful and high profile Entrepreneurship Challenge.

The first cohort of almost 100 students successfully completed the Bachelor of Business and Information Management.

The successful development and ongoing growth of the ICEHOUSE has been another highlight, and has included the extension of business growth programmes into Australia through a franchise agreement with one of Australia's leading business schools, and the award of \$100,000 in funding from Industry New Zealand to develop Growing Global, a programme designed to help entrepreneurs and chief executives face the challenges in managing rapid growth to capture and defend a global customer base.

The installation of new video conferencing facilities and the upgrade of AV facilities have greatly improved the current teaching environment. Developments and activities by the Faculty's Computer Services Unit and TechSite Services are opening up new and innovative teaching and research opportunities, including the teaching of a class at the McIntyre School at the University of Virginia and a class at The University of Auckland Business School simultaneously by John Griffin, president of a large hedge fund, from his New York office.

The Faculty has established a set of staff excellence awards to reaffirm that its mission to develop the Business School is centred on "people". While the building will provide the spaces which will help the Faculty to do things differently, it is how the people who inhabit this building work and perform that will determine overall success. Four categories of awards are established, including a set of research excellence awards for outstanding research performance, a set of teaching excellence awards for outstanding teaching performance by individuals or teaching teams in all programmes (undergraduate, postgraduate, executive, customised, on-line or joint ventured), a set of general staff excellence awards for outstanding performance as individuals or teams of the Faculty's general staff, and finally a distinguished contribution award for any member of the academic or general staff for sustained contributions to the Faculty's development.

 LAW

Important improvements were made in 2003 to the quality of the undergraduate teaching programmes by reintroducing three streams, rather than just two, to each of the four Part II compulsions. These foundation courses can now be taught in streams of around 100 students, with the classes scheduled in the lecture theatres at the Law Faculty's premises designed for this purpose. This fosters an increased sense of student collegiality.

Other highlights at undergraduate level included the successful reintroduction of a course in South Pacific Legal Studies after some years' absence, to be offered biennially. Roman Law was also reintroduced. Other new courses were International Economic Regulation, Advanced Studies in Taxation, and an honours course in Consumer Law. The overall number of electives remained the same as 2002. For the first time, in January 2004, the Faculty will be offering courses in the Summer School.

Senior staff visited Singapore, Malaysia, Sweden, Norway and Denmark to promote academic interchange. Linked to these visits and the University's "360° Abroad" student exchange initiative, faculty-to-faculty arrangements for student exchanges are being negotiated with Copenhagen and Oslo. The first Law students have arrived from Singapore, and two Law students from Auckland went to Lund in 2003.

EFTS enrolled in the postgraduate programme grew by 15 per cent in 2003. International visitors included distinguished teachers from the Universities of Adelaide, Cambridge, Colorado, De Montfort, George Washington, Indiana, London (University College), Oxford, Toronto and Wuhan. International students need to meet stringent academic and English language requirements to gain admission, and have come from over ten countries in Europe, Asia, and North America. The postgraduate programme will be considerably expanded in 2004 with the discontinuance of the MComL degree in the Faculty of Business and Economics, and the offering of seven further papers in the LL.M, to be taught by the Department of Commercial Law.

Research highlights included the magisterial *The New Zealand Bill of Rights* (OUP), a project led by Associate Professor Paul Rishworth, and co-authored with the Faculty's Scott Optican, former colleague Grant Huscroft and Richard Mahoney of Otago University. Other books written or edited were: Dr Allan Beever, *Tort Law: Commentary and Materials* (Brookers); Simester and Brookbanks, *Principles of Criminal Law* (2nd ed, Brookers); and

HIGHLIGHTS INCLUDED THE REINTRODUCTION OF SOUTH PACIFIC LEGAL STUDIES AND ROMAN LAW. NEW COURSES INCLUDED INTERNATIONAL ECONOMIC REGULATION, ADVANCED STUDIES IN TAXATION, AND AN HONOURS COURSE IN CONSUMER LAW.

Gordon Williams, New Zealand section of Geens, ed, *International Encyclopaedia of Laws: Corporations and Partnerships* (Kluwer). The Faculty also hosted a major international conference on Land Law (Taking Torrens into the 21st Century), organised by David Grinlinton.

Law students Jesse Wilson and Isaac Hikaka won the prestigious 14th Annual Manfred Lachs International Space Law Moot Competition. The final was judged in Bremen, Germany, by three permanent justices of the International Court of Justice. Dan Jones and Craig Ulyatt won the Australasian Client Interviewing Competition in Queensland, and Anita Legge won the national Witness Examination Competition. Two new, externally funded moot competitions were started within the Faculty: the Greg Everard Memorial Moot Competition and the Kiely Thompson Caisley Employment Moot Competition.

The Faculty hosted the New Zealand Law Foundation Distinguished Visiting Fellow in 2003. The fellow was Professor Benedict Kingsbury of New York University, a specialist in indigenous peoples in international law. The annual New Zealand Legal Research Foundation visitor was Professor Frederick Schauer, of the Kennedy School of Government, Harvard University. From Canada came the current Chief Justice of the Supreme Court, Beverly McLachlin, and retired justice of the same Court Mme L'Heureux Dubé. The Chief Justice of the New South Wales Supreme Court, the Hon James Spigelman, gave the Spencer Mason Trust Lecture. Martin Lee QC, chairman of the Hong Kong Democratic Party, spoke on "Dissent and democracy: Hong Kong at the crossroads".



## SCHOOL OF THEOLOGY

On 13 January 2003 the School of Theology was established when Professor Elaine Wainwright took up her position as Head of School, and in March the School office moved from Tamaki to the City Campus. A key focus has been the setting in place of school structures, which has involved both school staff and representatives from other sectors of the University.

The Richard Maclaurin Goodfellow chair in Theology is supported by a generous contribution from Dr Douglas Goodfellow and the school graciously acknowledges this generosity and the affirmation of its work.

A major curriculum revision was undertaken in response to the October 2000 report of the committee established to review the Joint Board of Studies, Theology, and the University's degree restructuring project.

Two staff members, Sr Susan Smith and the Rev George Wieland, were awarded PhDs from the University of Auckland and the University of Aberdeen respectively. Canon Hone Kaa graduated Doctor of Ministry from the Episcopal Divinity School, Cambridge, Massachusetts, and Dr Jenny Plane Te Paa was awarded an honorary doctorate from the same school. Three staff members published books, three edited publications, and numerous articles were published.

One PhD, five Master of Theology and 46 Bachelor of Theology students graduated, as well as six Graduate Diploma (Theology) students. Dr Susan Thompson was awarded the Vice-Chancellor's Prize for the Best Doctoral Thesis in Theology and a prospective doctoral candidate took up a scholarship at Princeton University in the US. Three students were awarded Postgraduate Tuition Fees Bursaries, five were awarded Senior Prizes and two received School of Theology Doctoral Fees Bursaries.

Distinguished visitors to the School included Sean Kealy from Duquesne University, Pennsylvania, who delivered a well-attended public lecture.

**A KEY FOCUS HAS BEEN THE  
SETTING IN PLACE OF  
SCHOOL STRUCTURES,  
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BOTH SCHOOL STAFF AND  
REPRESENTATIVES FROM  
OTHER SECTORS OF THE  
UNIVERSITY.**



## UNIVERSITY OF AUCKLAND AT MANUKAU PROGRAMME

The alliance between the University of Auckland and the Manukau Institute of Technology widens access to University qualifications to students in the greater Manukau region, providing increased flexibility and choice for learners in the area. In 2003, the fourth year of operation, three degree programmes were offered at Manukau: the Bachelor of Education (BEd(Tchg)); the Bachelor of Visual Arts (BVA); and the Bachelor of Business and Information Management (BBIM).

EFTS reached over 440, meeting projected enrolment growth. Enrolments in the BEd(Tchg) exceeded projections, continuing a pattern of strong growth since the programme's inception. Some 67 per cent of the original 2001 cohort completed in 2003. The programme continues to attract high numbers of mature females, Pacific Island students (35.8 per cent of enrolments) and Māori students (22.6 per cent). The establishment of the Faculty of Creative Arts and Industries will see the BVA Board of Studies coming under this new Faculty in 2004.

The Woolf Fisher Research Centre, a joint venture between the University and the Institute located at Manukau, promotes research-based educational interventions in South Auckland to enhance educational achievement. Literacy studies conducted through the centre gained widespread attention in 2003.

Manukau Institute of Technology has completed a new building, with provision for a suite of rooms for the University of Auckland Programme. The University and the Institute have been in discussion with Manukau City Council and other tertiary institutions about further provision of University education in Manukau City.

THE UNIVERSITY OF AUCKLAND  
TAMAKI CAMPUS

Tamaki Campus precinct and district developments were again key foci in 2003. The Campus Plan Change application, based on the 2002 Tamaki Campus Masterplan, was adopted by Auckland City for public notification and submissions. Consultations took place with Opus (impacts of the proposed Eastern Corridor) and Infrastructure Auckland (potential for improved transportation infrastructure from a multi-stakeholder perspective).

Rail systems were upgraded and new campus bus stops with expanded services were negotiated. A business “hub” and “precinct”, an amenity upgrade, and the “Innovation District Concept” were planned jointly with Auckland City. The latter was endorsed by Professor Michael Luger (North Carolina Innovation Triangle) as a premier NZ economic development project.

In 2003 the Engineering and Science Research Centre was completed, and new building projects were commenced – the Population Health Complex, and the Landcare and MAF Green Building, both of which will be occupied in March 2004. Construction of a new building to accommodate external agencies was approved for Colin Maiden Park, and renovation of the retail precinct on campus began.

The campus experienced an 11 per cent growth in EFTS in 2003, mainly in Business and Economics, with a projected growth of 30 per cent expected in 2004, mostly in Population Health, Business and Economics, Engineering and Education.

A memorandum of understanding was signed with the Ministry of Education Group Special Education, and the first 50 external professionals arrived in the Education Cluster. Synergies, with a view to research and teaching partnership opportunities, were explored with a range of health systems management companies, national sports organisations and Archives NZ, interested in co-locating with the University at Tamaki. Potential co-locators were also identified through discussions with the Employers and Manufacturers Association, and Trade and Enterprise New Zealand. A relationship with Montana Wines Ltd and other wine companies was initiated in conjunction with the launch of a postgraduate Wine Science programme.

Other academic developments include the successful launch of a postgraduate Speech Language Therapy programme and other new postgraduate Psychology programmes: Applied Behaviour Analysis, Clinical Psychology and Ergonomics. The Centre for Advanced Composite Materials (Engineering) opened on

IN 2003 THE ENGINEERING AND SCIENCE RESEARCH CENTRE WAS COMPLETED, AND NEW BUILDING PROJECTS WERE COMMENCED – THE POPULATION HEALTH COMPLEX, AND THE LANDCARE AND MAF GREEN BUILDING, BOTH OF WHICH WILL BE OCCUPIED IN MARCH 2004.

campus in late 2003, and a new Tamaki division of Business and Economics was approved with Associate Professor Kambiz Maani appointed as interim Head of Division. Professor Alistair Woodward was appointed as Head of Population Health and, among other appointments, Dr Laura Nickalou, from the University of Bordeaux, was appointed in Wine Sciences. The relocation of the postgraduate Counselling Education at Tamaki has been approved, with links to Population Health.

There were several key Government visits by the Ministers of Economic Development, Research, Science and Technology, and Health. Senior FRST, Technology NZ and Trade and Enterprise NZ officials also visited the campus. Overseas visitors included the Queensland Minister of Innovation and Technology and the Crown Prince of Brunei.



## AUCKLAND UNISERVICES LTD

It was another very successful year for Auckland UniServices Ltd with total revenues of \$62.5 million, a growth of 11.8 per cent on 2002. The company, which is wholly owned by The University of Auckland, has now maintained a compound revenue rate of 20 per cent over the last ten years.

Contribution to the University from UniServices was \$19.1 million, including payments to principal investigators, scholarships, surpluses from projects and equipment donation. In total, UniServices was responsible for over 12.5 per cent of the University's income and contracted over 59 per cent of all research activity. In addition to University staff working on UniServices projects, a further 549 research staff were employed, 306 of them full-time.

UniServices provided funding to the Institute for Indigenous and Māori Education, the Clinical Trials Research Unit (CTRU), the Liggins Institute, the Auckland Cancer Society Research Centre and the Bioengineering Institute. Along with the CTRU, significant businesses operating within UniServices were the English Language Academy, the Clinical Nutrition Unit and the Immunisation Awareness Centre.

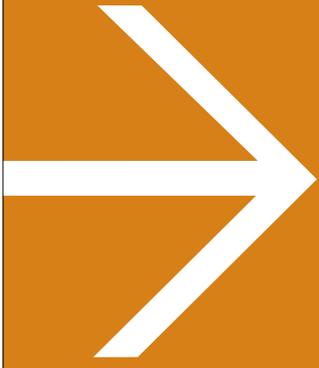
Research projects in the health field in 2003 included ongoing development of potential world first anti-cancer and anti-viral vaccines; new preclinical research on the cancer therapeutic DMXAA for Antisoma; development of potential antibacterials and cancer drugs; and an investigation into potential treatments for neurodegenerative diseases by enhanced micro-algal products. UniServices was involved in two Ministry of Health projects – a collaborative \$4 million National Children's Nutrition Survey and an evaluation of aged care programmes.

The annual banking customer satisfaction survey was successfully completed, resulting in a record level of sales reports to business, and the Business School gave assistance to the Auckland Regional Economic Development Strategy (AREDS) on major regional initiatives. A Ministry for the Environment project to develop a decision maker accreditation scheme streamlined the administration of the Resource Management Act, while the Assessment Tools for Teaching and Learning (asTTle) literacy and numeracy tool was launched as part of \$28.4 million Ministry of Education package. The contract was renewed with the Ministry of Education for the First Time-Principals Programme, and work continued on two large contracts investigating bioactives in milk via LactoPharma, a joint venture with Fonterra.

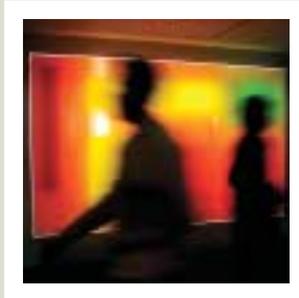
Local and international business relationships developed, such as the strengthening of those with the bio-Pharma industries and Stanford University. Some 466 local firms accessed technology through UniServices in support of business growth. UniServices filed 42 new patents and seven technologies were licensed to 13 partners.

The year 2003 again saw increased activity with almost every Faculty involved in Auckland UniServices Ltd projects. Faculties that contributed the most income were Medical and Health Sciences (53 per cent), Arts (25 per cent) and Science and Engineering (18 per cent).

**RESEARCH PROJECTS IN THE HEALTH FIELD IN 2003 INCLUDED ONGOING DEVELOPMENT OF POTENTIAL WORLD FIRST ANTI-CANCER AND ANTI-VIRAL VACCINES; NEW PRECLINICAL RESEARCH ON THE CANCER THERAPEUTIC DMXAA FOR ANTISOMA; DEVELOPMENT OF POTENTIAL ANTIBACTERIALS AND CANCER DRUGS; AND AN INVESTIGATION INTO POTENTIAL TREATMENTS FOR NEURODEGENERATIVE DISEASES BY ENHANCED MICRO-ALGAL PRODUCTS.**



# KATE EDGER INFORMATION COMMONS



THE OFFICIAL OPENING OF THE KATE EDGER INFORMATION COMMONS IN AUGUST 2003 MARKED A SIGNIFICANT STEP IN THE ONGOING DEVELOPMENT OF THE UNIVERSITY OF AUCKLAND.

The Kate Edger Information Commons (KEIC) is located at the heart of The University of Auckland and is the largest student information and study centre of its kind in Australasia. The KEIC contains more than 1200 study and computer spaces, as well as cafes, shops and a wide variety of student services in the adjacent student commons.

It is open 18 hours a day, seven days a week and has quickly become the social and study hub of the University. It is used by thousands of students every day.

The KEIC took just 15 months to build. It was designed by architect Thom Craig, previously a design director with Warren and Mahoney (and now with MAP), and built by Mainzeal Construction.

It is named after Kate Milligan Edger (1857 – 1935), the first woman to gain a degree in New Zealand. Miss Edger graduated with a BA in Mathematics in 1877 after attending classes at Auckland College and Grammar School, which was affiliated to the University. She was also the first woman in the British Empire to earn a BA.





# STATEMENT OF SERVICE PERFORMANCE

IN DECEMBER 2002, THE UNIVERSITY OF AUCKLAND PUBLISHED ITS STATEMENT OF OBJECTIVES FOR 2003, 2004 AND 2005. IN THE YEAR 2003, THE UNIVERSITY WORKED TOWARDS MEETING THESE OBJECTIVES IN ORDER TO SUPPORT ITS MISSION STATEMENT "TO ENHANCE THE POSITION OF THE UNIVERSITY OF AUCKLAND AS A UNIVERSITY OF HIGH INTERNATIONAL STANDING, RECOGNISED FOR EXCELLENCE IN TEACHING, RESEARCH AND ADMINISTRATION, INNOVATIVE CONTRIBUTION TO THE ADVANCEMENT OF KNOWLEDGE AND SERVICE TO ITS LOCAL, NATIONAL AND INTERNATIONAL COMMUNITIES". THE ACHIEVEMENTS AND HIGHLIGHTS OF THE YEAR FOLLOW.



## PEOPLE

### GOAL

To attract and retain staff of the highest quality and students who have the potential to succeed in an international, research-led University and to engage all members of the University community fully in its academic activities and aspirations.

### OBJECTIVES

- Recruit nationally and internationally staff who are excellent teachers and leading scholars and researchers in their fields.
- Develop academic and general staff with strong managerial, leadership and technical abilities.
- Value the participation of all staff in academic and institutional life and empower all members of the University community to exercise initiative and responsibility.
- Attract a diverse, cosmopolitan and academically able student body through effective admission policies and processes.
- Provide the opportunity for the full participation of students in the intellectual, cultural and recreational life of the University.

### ACHIEVEMENTS AND HIGHLIGHTS

- Recruitment practices increasingly use search methods to supplement normal advertising procedures and the new web-based recruitment management system has proved very successful. Academic colleagues use their networks to identify and encourage suitable candidates to apply for vacancies.
- The standards used in assessing appointment criteria have been increased steadily, with all academic appointments now requiring a PhD and relevant experience.

- The Women in Leadership Programme was expanded to a wider group of participants, and has built on its achievements. A Māori in Leadership programme, modelled in part on the Women in Leadership programme, also has been very well received.
- The University introduced a Certificate in University Teaching and Learning, and staff will progressively complete the programme as a part of a commitment to improved teaching and learning.
- A wide range of development, mentoring and coaching programmes has been provided to both general and academic staff, and new awards have been developed to recognise excellence and achievements.
- A new Faculty of Creative Arts and Industries was approved in 2003 and Professor Sharman Pretty was appointed as the inaugural Dean.
- New professors in 2003 included: Steve Cahan (Accounting and Finance), Wystan Curnow (English), Peter Davis (Sociology), Wendell Dunn (Entrepreneurship), Susan Geertshuis (Centre for Continuing Education), Shirley Mangini (European Languages and Literatures), Nick Perry (Film, Television and Media Studies), Duncan Petrie (Film, Television and Media Studies), Allen Rodrigo (Biological Sciences), Carole Shepherd (Fine Arts), Elaine Wainwright (Theology), John Windsor (Surgery) and Alastair Woodward (Population Health).
- Professor Lorraine Stefani was appointed as Director of the Centre for Professional Development.
- Vice-Chancellor's Awards for distinguished contributions to the University were presented to the Registrar, Warwick Nicoll, and to the Chief Executive Officer of UniServices, Dr John Kernohan.
- John Taylor, formerly headmaster of King's College, took up the position of Director of External Relations at the University.

- The following staff received Universitas 21 Fellowships to further their professional development at other Universitas 21 universities: Professor Allen Rodrigo (School of Biological Sciences), Richard Bright (Manager of the Lecture Theatre Management Unit), Efeso Collins (Communication Officer in the Schools Recruitment and Course Advice Team) and Janet Copsey (University Librarian).
- The University instituted a Development Programme for Academic Heads consisting of three strands – for current, new and future heads of departments. The Programme culminated in an academic heads retreat, which all academic heads and participants attended.
- Funding for General Staff Professional Development Awards was doubled.
- Fourteen staff received Teaching and Learning Improvement Grants.
- The University hosted the New Zealand Universities Administration Course for university administrators throughout New Zealand.
- The Kate Edger Information Commons and the Student Commons were opened by the Prime Minister in 2003, providing study and social facilities and services for students. An international lounge and a postgraduate lounge are features of the Student Commons.
- Staff and students were fully involved in forums discussing the preparation of the University of Auckland Charter and Interim Profile.
- In 2003, the University awarded a new entry-level scholarship – the University of Auckland Scholarship – to 34 high-achieving school leavers. These scholarships were contested by Year 13 students nationally. Senior students mentored all scholarship winners.
- The University continued to attract a demographically diverse student body. A head count of students showed that 41.7 per cent were European, 34.4 per cent Asian, 5.5 per cent Māori and 6.2 per cent Pacific Islanders. Five per cent came from other ethnic groups and 7.2 per cent did not state their ethnicity. Of these students, 40.5 per cent were 20 or younger, 38.1 per cent were in their twenties, 11.9 per cent in their thirties and 9.5 per cent over 40.

- The number of students entering the University directly from secondary school was 4,000 – an increase from 3,780 in 2002. Of these 4,000 students, 3,376 were admitted with a Bursary entrance qualification.
- Orientation programmes for students were expanded and enhanced with a number of new events, including an evening for parents and partners and a welcome for scholarship winners.
- The Student Life Commission reported at the end of 2002 and, during 2003, forums were held for students to comment on the implementation of the recommendations in the report.
- Guidelines for participation in department and Faculty staff-student consultative committees were re-issued.
- Meetings were held with school principals and careers officers on entrance to the University under the National Certificate of Educational Achievement.

## PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Students (headcount)</b>				
Domestic students	28,030	28,466	27,829	27,009
International students	4,490	4,760	3,673	2,456
Total students enrolled <sup>2</sup>	32,520	33,226	31,502	29,465
<b>Equivalent Full Time Students (EFTS)</b>	26,600	27,205	25,979	24,338
<b>Students - academic standard</b>				
<b>Bursary students entering directly from secondary school</b>				
A Bursary students (%)	52	50	50	51
B Bursary Students (%)	32	34	33	32
<b>EFTS per FTE academic staff</b>	15.5	14.8	15.0	15.3
<b>Staff (FTE)</b>				
Academic staff	1,720	1,826	1,702	1,561
General staff	2,000	1,960	1,835	1,732
<b>Total staff</b>	<b>3,720</b>	<b>3,786</b>	<b>3,537</b>	<b>3,293</b>

<sup>2</sup> Excludes New Start and CCE



## TEACHING AND LEARNING

### GOAL

To provide quality undergraduate and postgraduate programmes benchmarked to high international standards in an intellectually rich and diverse learning environment.

### OBJECTIVES

- Provide a student-focused teaching and learning environment which encourages academic excellence, enjoyment of learning, critical reasoning and inquiry.
- Review regularly the academic curriculum, qualifications portfolio, modes of delivery and assessment practices to ensure that the University sustains an academic programme of high quality.
- Retain a core commitment to research-based teaching and enhance scholarship by linking research, professional practice, creative work and teaching.
- Place a high priority on excellence in curriculum development and teaching in the recognition and rewards systems of the University.
- Evaluate, in appropriate and dependable ways, the quality of teaching, supervision and assessment of student work.
- Encourage and promote the development of flexible modes of teaching and learning, the use of new teaching technologies, and computer-assisted course management systems.

### ACHIEVEMENTS AND HIGHLIGHTS

- Three new qualifications were introduced, including one masters degree and doctorates in Musical Arts and Pharmacy. Four new majors and specialisations were introduced.
- The University's Distinguished Teaching Awards were reconfigured as Teaching Excellence Awards and the inaugural awards were made to Andrew Luxton (Computer Science), Professor Charles McGhee (Ophthalmology), Dr David Sundaram (Management Science and Information Systems) and the Stage One Introductory Statistics Team led by Professor Chris Wild.
- The Stage One Introductory Statistics Team also won a National Tertiary Teaching Excellence Award.

- The Kate Edger Information Commons was opened, providing 1,200+ study spaces for students, 500+ of these with ICT capability.
- The School of Theology was established within the University under a revised partnership agreement with Carey Baptist College, the Catholic Institute of Theology, St John's Theological College and Trinity College.
- The Master of Speech Language Therapy Practice had its first intake of students.
- The inaugural class completed studies for the Bachelor of Pharmacy degree.
- The University agreed to reconfigure its qualifications in line with recommendations of the Curriculum Commission. The new qualification structure will be introduced in 2006.
- Credit regulations for prior academic study were reviewed and revised to clarify the requirements for students moving between institutions and to make it easier for students to engage in study abroad.
- In 2003 faculties across the University increasingly invested efforts to provide students with rich on-line resources through Cecil, the University's Learning Management System. The number of University courses using Cecil has more than doubled from 2002, with 50 per cent of courses using Cecil in some way.
- The English Language Self Access Centre relocated to the Kate Edger Information Commons.
- Jonathan Good, an Arts and Science graduate of the University, was awarded a Rhodes Scholarship for 2004.
- Rohan King, an honours student in neuroscience, was named as a 2004 Woolf Fisher Scholar.
- Fourth-year Law students Isaac Hikaka and Jesse Wilson won the world finals of the Manfred Lachs Space Law Moot Competition for 2003 in Bremen, Germany.
- Postgraduate students organised spark\*, The University of Auckland Entrepreneurship Challenge, a competition for turning first-class ideas into world-class businesses. More than 100 participants in 41 teams entered the Challenge.
- The School of Business won an award from Hewlett Packard for initiatives in enhancing the use of mobile technologies in teaching and learning.

- The University undertook surveys of both final-year undergraduate students and first-year undergraduate students during 2003 with the intent to monitor the quality of student experience and identify improvements. The results were published on-line. These followed a survey in 2001 of postgraduate students.

## PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Qualifications</b>				
Degrees offered	80	80	77	75
Diplomas and Certificates offered	60	63	61	59
<b>Departmental and School Reviews completed</b>				
	7	2	6	9
<b>Conjoint Degrees</b>				
Number of students enrolled in conjoint degrees	3,050	3,059	3,001	2,850
<b>Students (EFTS)</b>				
Ministry of Education subsidy	23,185	23,021	22,639	22,080
Private and other funding	3,415	4,184	3,340	2,258
<b>Total EFTS</b>	<b>26,600</b>	<b>27,205</b>	<b>25,979</b>	<b>24,338</b>
Non-degree programmes	430	411	459	441
Undergraduate	21,510	22,322	20,979	19,659
Postgraduate	4,660	4,742	4,541	4,238
<b>Total EFTS</b>	<b>26,600</b>	<b>27,205</b>	<b>25,979</b>	<b>24,338</b>
<b>Percentage of postgraduate to total EFTS in degree programmes</b>				
	17.8	17.5	17.8	17.7



## RESEARCH AND CREATIVE WORK

### GOAL

To carry out research and creative work of a consistently high international standard which will contribute to the advancement of knowledge and understanding, and to the national goals of innovation, economic development, social development, environmental sustainability and the fulfilment of the obligations of the Treaty of Waitangi.

### OBJECTIVES

- Fully engage the skills and capabilities of the University in carrying out research that meets the research goals of the University and assists the nation to meet its strategic goals.
- Develop portfolios of research that enhance the University's capacity to carry out research of regional, national and international relevance and of relevance to Māori and Pacific peoples.
- Protect, develop and exploit the intellectual property developed in the University.
- Work to increase external funding and support for research and creative work.
- Recruit increased numbers of postgraduate research and post-doctoral students and provide them with research supervision, infrastructure and support of the highest possible quality.
- Promote research alliances and collaborative partnerships with other tertiary institutions, research institutions, public agencies and the private sector.

### ACHIEVEMENTS AND HIGHLIGHTS

- Associate Professor Andrew Pullan (Bioengineering Institute) and Associate Professor Russell Gray (Department of Psychology) were made James Cook Fellows by the Royal Society of New Zealand. Associate Professor Pullan's award was for research on computer modelling of gastrointestinal bioelectric activity while Associate Professor Gray is working on language trees and computation biology. Only four new fellowships were awarded in 2003 and four of the eight James Cook Research Fellowship holders were from The University of Auckland.



## STATEMENT OF SERVICE PERFORMANCE (CONTINUED)

- Professor Richard Le Heron (Geography), Professor David Ryan (Engineering Science), Associate Professor Michael Walker (Nga Pae o te Maramatanga and School of Biological Sciences), Professor Harvey White (Cardiology) and Dr Bruce Hayward (Research Associate, Geology) were elected as Fellows of the Royal Society of New Zealand.
- Professor Marston Conder and Professor Margaret Brimble were elected to the Academy Council of the Royal Society of New Zealand.
- The National Research Centre for Growth and Development based in the Liggins Institute began operating in 2003.
- Distinguished Professor Peter Gluckman (Liggins Institute) was appointed as foundation president of the International Society for the Developmental Origins for Health and Disease, and was also appointed chair of the World Health Organisation (WHO) strategic planning group on optimising fetal development.
- Professor Geoff Duffy of Chemical and Materials Engineering received the New Zealand Science and Technology Silver Medal from the Royal Society of New Zealand for his exceptional contribution to industry and the community over more than three decades in the field of fluid mechanics of fibre suspensions.
- The University of Auckland gained 21 of a total of 105 Marsden Fund Awards made in 2003, and a total of \$11.8 million in funding, the highest amount awarded to any institution in the country. It was the first time that five-year funding was allocated by the Marsden Fund and, of the three awards providing five-year funding, two of these were to The University of Auckland.
- Professor Margaret Brimble of the Chemistry Department was appointed Novartis Chemistry Lecturer for 2003.
- Professor Graham Smith received the Te Tohu Pae Tawhiti Award from the New Zealand Association for Research in Education. The award recognises researchers who have made a significant contribution to Māori education by conducting high quality research over an extended period of time.
- The University was successful in gaining Health Research Council funding of \$20.6 million for 20 new projects and two new programmes. This was the largest total amount awarded to any organisation in 2003 and was 47 per cent of the total granted.
- Professor Rod Jackson and Professor Robert Scragg were successful in obtaining \$4 million in funding from a new scheme designed to improve health in developing countries. The International Collaborative Research Grants Scheme is a partnership between the Wellcome Trust, the National Health and Medical Research Council of Australia and the Health Research Council of New Zealand, and represents the return of the Wellcome Trust to funding research in New Zealand after an absence of several years.
- Of 84 Top Achiever Doctoral Scholarships awarded by the Foundation for Research, Science and Technology to New Zealand-based students in the two rounds for 2003, 41 were at The University of Auckland.
- In October 2003, The University of Auckland and AgResearch jointly formed the Bioinformatics Research Institute based in the School of Biological Sciences and directed by Professor Allan Rodrigo. The Institute was established to promote and facilitate bioinformatics research and training at The University of Auckland while being an internationally recognised centre of excellence in bioinformatics in New Zealand and the Asia-Pacific region.
- The value of new research grants and contracts won was \$165 million, \$84 million from the Research Office and \$81 million from Auckland UniServices Ltd.
- Revenue earned by the University from externally sponsored research projects reached \$47.5 million. Research revenue from Auckland UniServices Ltd was \$62.5 million, giving total research revenue of \$110 million.

### PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Postgraduate EFTS</b>				
Taught postgraduate	2,995	2,904	2,907	2,595
Research-based postgraduate	1,665	1,568	1,634	1,643
<b>Total EFTS</b>	<b>4,660</b>	<b>4,472</b>	<b>4,541</b>	<b>4,238</b>
<b>Research postgraduate to total postgraduate percentage</b>				
	35.7	35.1	36.0	38.8
<b>Research grants from external sources \$m</b>				
University only (from external sources)	47.9	47.5	41.7	40.6
UniServices	58.3	62.5	54.3	46.3
<b>Total</b>	<b>106.2</b>	<b>110.0</b>	<b>96.0</b>	<b>86.9</b>
<b>Publications and creative works</b>				
Books and referred chapters in books	590	506	565	551
Refereed papers and other works and reports	4,250	4,775	4,200	4,190
Creative works	260	158	250	245
Reviews and comments	550	377	520	480
Note: precise year of publication is difficult to predict				



## EQUAL OPPORTUNITY

### GOAL

To fulfil the University's equal opportunity responsibilities and to continue to give high priority to the principles and practices of equity in respect of both equal education and equal employment as set out in the Equal Opportunities Plan.

### OBJECTIVES

- Maintain fair, open and consistent recruitment and promotion practices and procedures, and provide opportunities for all staff to participate in appropriate staff development programmes.
- Place high priority on the principles and practices of equity in all areas of staff policy and management.
- Recruit diverse staff, foster their abilities, and ensure employment procedures that are effective in achieving equity goals.
- Recruit and retain a diverse student body, providing research and curricular activities relevant to their needs.
- Ensure that the teaching and learning needs of under-represented groups of staff and students are identified and met in ways that uphold the Treaty of Waitangi and equity obligations of the University.

### ACHIEVEMENTS AND HIGHLIGHTS

- A highlight of 2003 has been developing the Starpath, an exciting project that aims to ensure that Māori, Pacific Islanders and students from low income backgrounds can fulfil their educational potential and gain access to superior skills and high income employment in proportion to their representation in the wider community.
- Recruitment visits included addresses to target group students in local and regional schools. Some recruitment visits were undertaken with the Student Recruitment and Course Advice (SRCA) Team to schools, career days, and career expos as wide-ranging as Auckland, Waikato, Bay of Plenty and Northland.
- On-campus school visits by equity target groups included STEAM, a programme to encourage Year 10 Māori and Pacific Islands students to consider opportunities in Science, Technology, Engineering, Architecture, and Medical Science beyond the compulsory levels at school. It

was attended by 409 students, an increase of 48 students in 2002, with very positive evaluations by both students and teachers who attended.

- Annual recruitment events for more senior school leavers such as Campus Day, STEAM Ahead and Te Ara Hua (Homeshow) target Māori and Pacific Islands Year 12 and 13 secondary students. This year's Pacific Islands programmes attracted 152 students and the Māori programme had 60 participants, both with excellent evaluations.
- Māori and Pacific Islands School Career Evenings for students and parents were well attended raising the profile of The University of Auckland in target groups.
- The main recruitment event for women students in engineering, Enginuity Day (E-day), was attended by 286 secondary school girls from the Auckland, Northland, Waikato, and Bay of Plenty regions. Attendance has increased by over 40 per cent since 2000.
- Girls into Science 2003, an on-campus event targeting Year 10 girls, uses role models and exposes the girls to a wide variety of tertiary and career opportunities to encourage them to consider taking Science beyond the compulsory levels. The event was attended by 250 girls from the Auckland, Waikato and Northland regions.
- Orientation programmes for students and their parents targeted first-year Māori, Pacific Islanders and women in Science and Engineering.
- WISE Futures Evening targeted female school leavers to encourage them to consider the physical sciences at tertiary level. This year, 130 girls attended from Auckland and Northland regions. Evaluations were very positive.
- Applications were received and 44 students were selected for the Chancellor's Awards for Top (Māori and Pacific Islands) Scholars (CATS). The Award is conditional on the student gaining entry to a university degree. The 2003 CATS cohort is progressing well; data has been collected on student assignments, tests and examinations.
- Finance Evening, an information evening focusing on finance options at University for Māori and Pacific school leavers and their parents/guardians, was attended by 180 students and their parents. Evaluations showed that the event was most valuable for future planning.
- Special Supplementary Grants (SSG) for Māori and Pacific Islands students are proceeding well, with very high pass



rates for those participating in Tuakana tutoring/mentoring programmes in various faculties. The services for students with disabilities are also being delivered to a very high standard.

- Support has been provided for 392 students with disabilities this year. Services include notetaking, sign language interpreting, library assistance, provision of alternative print material, advice and advocacy and assistance with special conditions for examinations. Disability Services manages five designated study areas that are equipped with appropriate furniture and specialist technology. Disability Services also offers a Mental Health Service and Careers Advice Service.
- New designated study space has been provided for students with disabilities in the Kate Edger Information Commons, bringing the total number of designated study spaces to five.
- Two more disability scooters were purchased providing access for students who need to move about this extensive campus.
- Since 2002, Māori academic staff have increased by 10.6 FTE. This has included six FTE senior positions. Pacific Islands academic positions have increased by 2.4 FTE
- Overall numbers of women academic staff have risen, including seven more FTE professors and four more FTE associate professors.
- Plans for an advertising campaign have been progressed to attract more Māori and Pacific Islands job applicants. While the project is intended to make employment opportunities more accessible to Māori and Pacific Islands applicants, the advertisements may well appeal to a wider cross section of job seekers.
- Guidelines on Work, Life and Family best practice, a seminar on managing work life and family, and an initiative to provide parking for staff with emergency family needs have arisen out of the Review of Work and Family.
- Leadership programmes for Māori and Pacific Islands staff were developed to promote support and advancement.
- The Centre for Professional Development has continued to provide Women in Leadership Programmes, which assist women with goal setting seminars, to meet their professional development and leadership needs, and one-to-one mentoring. Evaluations have indicated the programmes are all successful.
- A survey of New Zealand and Australian tertiary institutions

was undertaken to identify key strategies to recruit senior general women staff that could be adapted for local use.

- Three awards were provided for the first time in 2003 for outstanding achievements in equity objectives in the University. They are intended to raise awareness of innovation and successful practices, and to reward high achievement.
- A project to benchmark the progress of women staff and students over a three-year period was undertaken with the University of Melbourne, Queensland University of Technology, the University of Queensland, the University of Western Australia and the University of British Columbia. Overall percentages of women were examined and the survey focused on women staff and students in IT, engineering, and architecture.
- A broad brief of monitoring employment processes allows for EEO representation on a variety of Faculty and University committees. In 2003, around ten committees were regularly attended and/or reports provided. Promotions processes are rigorously monitored. (Current indications are that women tend to be highly successful in promotions rounds.) Submissions are also jointly provided from the EO Office to departmental reviews such as Physics and Engineering Science.
- A variety of workshops, seminars and presentations are provided on EEO policy and best practice, including a fortnightly induction for general staff, bi-annual induction for academic staff, University-wide seminars on EEO issues and occasional external speaking engagements.

PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Equal Employment Opportunities</b>				
% Female academic staff (FTE)	40.0	37.5	37.0	37.0
% Pacific Island academic staff (FTE)	3.0	2.2	2.0	1.6
% Pacific Island general staff (FTE)	5.7	4.8	4.9	4.1
<b>Comprehensive reporting of EEO plans and reports within the University</b>	yes	yes	yes	yes
<b>Equal Educational Opportunities</b>				
Number of Pacific Islands EFTS <sup>3</sup>	1,730	1,688	1,621	1,528
% Pacific Islands EFTS	6.5	6.3	6.3	6.4
Number of students identifying with a disability	745	636	720	666
Number of students who use disability services	445	392	430	396
<b>Comprehensive EEO plans and reports within the University</b>	yes	yes	yes	yes
See Treaty of Waitangi section for Māori statistics				

<sup>3</sup> Number excludes CCE and New Start



## TREATY OF WAITANGI

### GOAL

To observe and fulfil the responsibilities and obligations of The University of Auckland under the Treaty of Waitangi.

### OBJECTIVES

- To recognise that all members of the University community are encompassed by the Treaty with mutual rights and obligations.
- To maintain the principles of partnership in University management and governance structures, and institutional life.
- To increase the number of academic and non-academic Māori staff.
- To enhance initiatives to increase, retain and support the access to and successful participation of Māori students in all the academic programmes of the University.
- To increase the numbers and improve the qualifications of Māori academic and general staff by targeted recruitment development and retention plans.
- To identify and support innovative and excellent Māori academic initiatives.
- To develop quality academic structures and innovative programmes which support Māori language, knowledge and culture.
- To increase the levels of Māori staff participation in research and publication and support innovative research.
- To develop national and international relationships as appropriate with educational and cultural institutions and indigenous groups.

### ACHIEVEMENTS AND HIGHLIGHTS

- The University of Auckland has negotiated memoranda of understanding with Ngati Whatua o Orakei and, where appropriate, other Iwi, Hapu and Māori communities.
- The ongoing liaison with Tainui regarding iwi advancement has continued.
- The James Henare Research Centre explored joint initiatives with groups throughout Tai Tokerau.
- Joint research was conducted in collaboration with Māori groups and organisations throughout the Motu.
- The Office of the Pro Vice-Chancellor (Māori) was involved in partnerships and activities arising out of the Nga Pae O Te Maramatanga Centre of Research Excellence.

- The Mira Szaszy Research Centre realigned its activity with other research centres focusing on Māori advancement.
- Various strategies aimed at increasing participation of Māori students were regularly reviewed at senior management and dean meetings and retreats.
- There was a continued provision of advice aimed at increasing enrolment and completion rates of Māori Law students.
- There were multiple initiatives in Medical and Health Sciences to provide pastoral care and increase the completion rates of Māori medical students.
- The MAI programme continued with a focus on increasing Māori activity in PhD and EdD programmes.
- The Office of the Pro Vice-Chancellor (Māori) continued to work with the Nga Taura Māori/Māori Students Association.
- Quarterly Runanga meetings were held in 2003.
- Adjunct Professor Mick Brown was appointed as the Acting Pro Vice-Chancellor (Māori).
- Associate Deans (Māori) were appointed in APPFA, Business and Economics, and Engineering. The Faculty of Arts appointed an Assistant Dean (Māori). Medical and Health Sciences appointed a Tumuaki Māori.
- The redevelopment of the Te Wananga building was completed.
- There was a continued focus on the growth and development of core initiatives, including provision of quality advice and the advancement of University activities impacting on the Māori community.

### PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Staff</b>				
% Māori academic staff (FTE)	5.0	4.0	3.5	3.7
% Māori general staff (FTE)	6.0	4.8	5.2	5.2
<b>Students</b>				
Number of Māori EFTS	1,460	1,366	1,373	1,375
% Māori students (EFTS)	5.5	5.1	5.4	5.7
<b>Comprehensive reporting of Treaty Plans and reports within the University</b>	yes	yes	yes	yes



## RELATIONSHIPS WITH COMMUNITIES OF INTEREST

### GOAL

To engage with the many communities with which the University has mutual interests and to which it has responsibilities and obligations in ways that benefit the University and enhance the knowledge base, social and economic well-being and future development of these communities.

### OBJECTIVES

- Contribute in a leadership role to the scientific, cultural, social, environmental and economic debates and life of our communities and of the nation, with particular regard to the statutory role of the University as critic and conscience of society and to the formation of public policy.
- Build an active and responsive relationship with local iwi and Māori communities and with Pacific communities within and external to the University.
- Enhance the active participation of alumni in the University community.
- Engage actively and constructively with the pre-University education system throughout the country.
- Promote the academic aims and activities of the University by developing links with other tertiary and research institutions.

### ACHIEVEMENTS AND HIGHLIGHTS

- The University and the Knowledge Wave Trust collaborated in the Knowledge Wave Leadership Forum in February.
- A record number of Golden Graduates, those over 50 years' standing, attended a celebration in November 2003.
- The 2003 Robb Lectures were presented by Professor Brian Sykes of Oxford University on "The interpretation of genes". The lectures marked the fiftieth anniversary of the discovery of DNA.
- The Vice-Chancellor Dr John Hood was chair of the New Zealand Vice-Chancellor's Committee in 2003.
- Three Vice-Chancellor's Lectures on marine science drew capacity audiences from the community.

- The administration of the Tamaki Campus has collaborated with the Auckland City Council in developing plans for the campus.
- The Business School presented the first Mira Szaszy Māori Business Leaders Awards at a function in September.
- The Ministry of Education's Group Special Education Auckland City Team has been located on the Tamaki Campus, where it will collaborate with University teaching and research staff.
- The University hosted a day-long forum on public intellectuals in New Zealand followed by a public lecture in the Auckland Town Hall by Dr Germaine Greer.
- The University's Software Engineering Group hosted a seminar, sponsored by IBM, with top software industry participants, aimed at creating collaboration between the University and the industry.
- The Business School has entered into a memorandum of understanding with the Onehunga High Business School to assist in improving the quality of business education in New Zealand and promote an enterprise culture.
- Auckland University Press (AUP) was awarded the 2003 Thorpe-Bowker Prize for excellence in New Zealand publishing.
- Philip Temple's *A Sort of Conscience: The Wakefields* published by AUP was the winner of the biography section of the Montana NZ Book Awards and won the Ernest Scott Prize for NZ and Australian History and the ARANZ Ian Wards Prize.
- The Schools Partnership Office was successfully established in June 2003 (and relocated beside the Equal Opportunities Office in November 2003) to coordinate and enhance the University's contacts with New Zealand schools.
- The Schools Partnership Office took the lead in holding key NCEA consultation meetings with groups of principals and careers advisers in nine major cities in New Zealand, leading to a well-received brochure for students for entry/selection in 2005.
- An extended one-day update, including a formal dinner addressed by the Pro Vice-Chancellor (Māori), was attended by 120 careers advisers from all over New Zealand.
- This was the first full year of a student liaison officer providing personal attention to targeted schools in the Waikato/Tauranga/Bay of Plenty areas.

- Courses and Careers Day on 30 August attracted approximately 5,000 prospective students and parents, with 40 free buses being provided (including from Rotorua, Tauranga, Hamilton, Thames and Whangarei).
- The Student Recruitment team added three new talks for schools: a motivational talk about tertiary education and an NCEA/Cambridge talk for students as well as talks to parents about the University.
- The pilot of the Mentoring and Tutor Education Scheme (MATES), which provides mentoring for students in low-decile schools, was evaluated with very positive results.
- The MATES mentoring project increased in scope in 2003 to 58 students in four lower-decile secondary schools, and ten of these mentored students won scholarships awards to The University of Auckland for 2004.
- The Dream Fono for 120 Pacific Island students was run in July 2003, a successful one-week inspirational and strategic programme.
- The Student Recruitment team attended 11 expos and visited 82 Auckland schools (53 whole-day course planning visits) and 75 out-of-Auckland schools.
- The University signed a memorandum of understanding with the Ngati Whatua o Orakei Māori Trust Board to seek ways in which the two organisations can co-operate for mutual benefit.
- School and marae visits were made around the North Island by staff and students from different sectors of the University, while the Pro Vice-Chancellor Māori's office has built relationships with iwi.
- A ceremony to mark the beginning of the construction of the Fale was a focus for relationships with the Pacific community.
- Māori (Nga Tauira Māori) and Pacific Islands (Auckland University Pacific Students Association) students associations are supported by the Equal Opportunities Office, as well as special graduation activities for Māori and Pacific Islands graduates.
- Two newsletters are produced and distributed containing items of interest to Māori (Te Kukupa) and Pacific Islands (Green Bananas) staff and students.
- The University has actively contributed to public and political debate on the issue of secondary preparation for university.
- The External Relations Department has been re-established in University House, 19A Princes Street, including a new Alumni Relations office, better to communicate with the University's 100,000 Alumni, to co-ordinate all Alumni Relations, Advancement, Public Relations, Communications and Marketing activities, and also to become a welcoming point for returning Alumni.
- The former University of Auckland Alumni Association has now become the University of Auckland Society, an independent body of Alumni and Friends for those who wish to have a closer connectedness and involvement with the University.
- A new University of Auckland magazine, *Ingenio* was launched in 2003 to communicate biannually with all Alumni and Friends of the University.
- The Web Governance Board has reviewed the University of Auckland's main website, especially to enhance its ability to communicate with all Alumni through upgraded Alumni Relations and University of Auckland's websites, due to be launched in late January 2004. In addition, @Auckland was launched to provide bi-monthly on-line news about the University to all Alumni.
- During 2003, major Alumni and Friends functions were held in London, New York, Sydney, Hong Kong and Wellington.
- More operational support has been given to the University of Auckland's UK and USA Trusts, which largely comprise expatriate Alumni, in order to provide more appropriate local co-ordination and support for friendraising and fundraising activities in both the UK and USA respectively, including the first annual Alumni Appeal in the USA.

#### PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Community Education (Ministry funded)</b>				
Number of Community Education courses	425	263	421	357
Total EFTS funded by the Ministry of Education	270	160	245	278
Total enrolments in courses	13,500	6,884	8,690	9,185



## INTERNATIONALISATION

### GOAL

To maintain and develop international relationships and activities that benefit our students and staff and ensure that the University contributes significantly in the wider international arena.

### OBJECTIVES

- Develop integrated policies and programmes that embed an international/intercultural dimension into the institutional culture of the University.
- Enhance the relationship with Universitas 21 and the Association of Pacific Rim Universities.
- Stabilise the number of international students at the University to 15 per cent, on an EFTS basis.
- Enable staff and students to engage more actively in the global community.

### ACHIEVEMENTS AND HIGHLIGHTS

- Enrolment of international students in 2003 grew by 30 per cent over 2002, totalling 4,760 students on a headcount basis. International students as a proportion of total undergraduates increased to 16 per cent. “Pipeline” growth and enrolment in additional summer session courses accounted for much of the increase over the 15 per cent target “ceiling”. Further growth will be incremental with greater emphasis on postgraduate programmes and continued diversification of source countries. Budget targets for 2004 provide for an increase of 10 per cent in total enrolments.
- Tuition fee revenue from fee-paying international students increased by 42 per cent, from \$40.3 million to \$57.1 million, and is projected to increase to \$71 million in 2004.
- As part of the diversification strategy, recruitment activity was increased in the USA with a new study programme at Auckland established by the Chicago-based Institute of Educational Students (IES). Recruitment was also extended to Canada, targeting teacher education students from Ottawa Province, Mexico for Study Abroad students, and the Middle East for scholarship students from Oman and the United Arab Emirates.
- The International Office participated in an extensive international market research study of nearly 2,000

Malaysian students studying in both New Zealand and Australian universities.

- Faculties were involved more actively in the development of international recruitment strategy through the establishment of the Strategic International Marketing Group (SIMG) as a sub-committee of the International Committee.
- The International Office was expanded and restructured to better support the University’s achievement of its internationalisation objectives, and to reflect international “best practice”. The creation of regional teams, combining recruitment and admission activities, was one example of a more customer-oriented central service unit, emphasising the core values of professionalism, teamwork, customer service, knowledge, enterprise and innovation.
- The Pro Vice-Chancellor (International) represented the University on national delegations to the Middle East and Central Europe led by the Minister for Education, the Hon Trevor Mallard.
- Universitas 21 Global, the e-learning teaching activity of Universitas 21, launched its first degrees.
- The Pro Vice-Chancellor also led two high-level university missions to the Middle East in May, and Latin America in September. Both missions explored new and strengthened institutional research and teaching links, student and staff exchange opportunities, placement of government-funded scholarship students and recruitment of private fee-paying international students. The initial outcomes of the mission to the Middle East included the first enrolment of scholarship students from Oman in Medicine and Pharmacy, and a contract for the training of up to 40 teacher education students from Saudi Arabia.
- The University increased its promotion of exchange programmes by launching the “360° Auckland Abroad” programme, which aims to have 10 per cent of the “graduating class” of bachelor degree students experience part of their studies in an overseas environment. Additional funding was provided for semester exchange scholarships.
- The number of 360° outbound exchanges increased 16 per cent from 2002 to 2003 – 78 semester placements in 2002 to 93 in 2003. New student exchange agreements were signed with six universities. There are currently 61 student exchange partner institutions in 21 countries, including two new destinations: the Netherlands and Iceland.
- The Vice-Chancellor, Dr Hood, was Chair of Universitas 21 for 2003. The University also hosted the annual meeting of

Universitas 21 Managers in October. This meeting was instrumental in developing an ambitious agenda for the alliance as agreed at the subsequent meeting of presidents and vice-chancellors in Vancouver in November. A key component of this plan is a significant expansion of the flow of exchange students between member institutions.

- Four U21 staff fellowships were awarded in 2003 and several doctoral students from Auckland attended the Association of Pacific Rim Universities (APRU) doctoral students conference in Mexico during August.
- Auckland participated in the APRU internationalisation survey, an initiative looking to share internationalisation best practice.
- Unfortunately a number of other U21 and APRU initiatives were disrupted due to the SARS outbreak. Many of these meetings or projects have been rescheduled for 2004.
- The University hosted 52 international delegations and campus visitors in 2003. These included high-level delegations from Oman, led by HE (Ms) Dr Rawya Al Busaidi, Under-Secretary of Education; and the People's Republic of China, led by Madame Wu Qidi, Vice-Minister, Education. Deputy Prime Minister of Singapore Mr Lee Hsien Loong also visited in November and addressed senior members of the University staff.
- The Vice-Chancellor formally opened the International Lounge in the new Information Commons building. This facility will provide a central point for both international and local students to meet and access satellite broadcasts of international news, documentaries and special events; international film festivals; advice on overseas exchange opportunities; student excursions and language conversation groups.
- The New Zealand Asia Institute organised a series of seminars and conferences geared to local communities, business, media and government interests as well as to academic institutions. Among these were the 15th NZASIA International Conference and a joint conference in Shanghai with the Shanghai Institute for International Studies.
- The Institute provided briefing for many of the Asian delegations to the University and its Director continued to pursue University-wide linkages with institutions in China, Malaysia, Singapore and Vietnam. The Institute also provided input into the Seriously Asia forum organised by the Asia 2000 Foundation of New Zealand.

- The Pro Vice-Chancellor (International) assisted in the organisation of the 2003 Knowledge Wave Leadership Forum in Auckland, and also served on the Knowledge Wave Trust.

#### PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>International students</b>				
Full fee paying (not Ministry subsidised)	4,320	4,126	3,222	1,932
Study Abroad (incoming)		340	228	192
Subsidised:				
Exchange students (incoming)	50	108	87	51
Research postgraduates and other	120	186	136	281
<b>Total students</b>	<b>4,490</b>	<b>4,760</b>	<b>3,673</b>	<b>2,456</b>
<b>Total international EFTS</b>	<b>3,810</b>	<b>4,084</b>	<b>3,066</b>	<b>2,039</b>
Exchange agreements with other universities	80	61	72	64
<b>Association of international research-led universities</b>				
Universitas 21	yes	yes	yes	yes
Association of Pacific Rim Universities	yes	yes	yes	yes

→ ORGANISATION AND MANAGEMENT

**GOAL**

To ensure that the academic aims and activities of the University are enabled and supported by the highest quality management and administrative policies, processes and practices.

**OBJECTIVES**

- Ensure appropriate and effective participation and sound and timely processes in University policy and decision-making.
- Maintain a co-ordinated, comprehensive and effectively supported system of planning for all academic and administrative activities.
- Ensure that all administrative activities and support services are efficient, effective and accountable according to international standards of best practice.
- Maintain and constantly improve a budget cycle that allocates resources in a way that advances the strategic interests and priorities of the University.
- Ensure accurate, timely and efficient collection, reporting and dissemination of information to meet statutory requirements and to support decision-making.

**ACHIEVEMENTS AND HIGHLIGHTS**

- The University operates a management structure which ensures that decisions, new policy implementation and reporting are collegial and allows for autonomy within the faculties.
- The budget process was further refined in 2003, with emphasis given to operational priorities.
- Each year, two Universitas 21 Fellowships are awarded to benchmark administrative practices against international best practice.
- The PeopleSoft Financials V8.4 was implemented in September, allowing increased control over data and processes.

- The Budget Committee and faculties were able to agree to common and consistent EFTS forecasts, based on a detailed analysis of the previous four years' data, for the entire University by early September.
- Continuous monitoring of EFTS enrolled and the financial position of each of the University's financial activity centres resulted in very accurate forecasting and better efficiencies and cost management.
- Extensive fine-tuning of the nDeva student administration system meant that the system was much more responsive to students' admission and enrolment queries, and substantially more effective for general staff.
- The Vice-Chancellor and his senior team met with faculties three times during the year to review financial position and the progress of operating priorities by the faculties.
- Of the 51 operational priorities set out at the start of the year, 85 per cent were completed successfully.
- All of the University's reporting requirements to the Tertiary Education Commission and the Ministry of Education were submitted on time and accurately, including the three single data returns.
- The Vice-Chancellor and the University's management group met twice during the year to review the University's operational priorities, key strategies, and major change initiatives.

**PERFORMANCE INDICATORS**

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
Operating costs per EFTS (Teaching and Research) (\$/EFTS)	11,891	11,663	11,411	10,682
Fixed Assets per EFTS (\$/EFTS)	28,170	29,466	28,955	26,715
Implementation of PeopleSoft system	yes	yes	yes	yes
	Finance 8.4	Finance 8.4	nDeva Enterprise data base	nDeva On-line admissions



## RESOURCES AND INFRASTRUCTURE

### GOAL

To develop and use our resources and infrastructure in ways which fully support the teaching and learning, research and creative activities, and administrative processes of the University and which are environmentally sensitive.

### OBJECTIVE

- Improve the net and gross revenues of the University, increasing and diversifying revenue streams and develop potential revenue streams.
- Maintain and develop quality scientific, artistic and cultural collections, libraries, archives, equipment, technology and information services to support the teaching, learning, research and creative work of the University.
- Maintain a University-wide plan for the physical development of all campuses, which provides for growth and is consistent with the University's environmental policy.
- Maintain an up-to-date Capital Management Plan which reflects agreed capital development priorities for the provision, repair, modernisation and utilisation of capital assets.
- Develop the physical infrastructure and services in ways that do not impact negatively on the environment, that ensure safety and effective utilisation, and that meet all external regulatory and safety standards.
- Seek to provide student amenities and facilities that enrich the quality of student life.
- Meet or exceed the key financial indicators as agreed with the Ministry of Education.

### ACHIEVEMENTS AND HIGHLIGHTS

- Overall operating revenue increased by \$45.3 million. Increases were recorded in all categories of revenue, with the exception of interest received. The main increases were derived from Tuition Fees at \$18.8 million (predominantly resulting from increases in International Student Fee income), Research income up by \$12.2 million and Government Grant income up by \$11.6 million.
- Operating surplus of \$15.3 million was \$0.7 million ahead of budget and up on 2002 by \$3.7 million.

- Operating cash flow of \$81.1 million was ahead of 2002 by \$11.8 million.
- The strength of the New Zealand dollar, versus the US dollar in particular, enabled the University Library to make additional purchases of a number of significant electronic collections.
- The premises of the Philson Medical and Health Sciences Library were remodelled to free space on the floor below so that a Grafton Information Commons could be created. This new facility is due to open at the end of February 2004.
- The utilisation of the Cecil Learning Management System (LMS) by Faculties to deliver on-line material continued to increase during 2003. Over 85 per cent of enrolled students now utilise learning resources provided through Cecil, and it has become the busiest website in New Zealand.
- Following approval of the Tamaki Campus master plan concept by the University Council in 2002, application was made to the Auckland City Council for a change to the Isthmus Plan to allow development of Tamaki as a research integration campus. Auckland City supported the concept and notified a public plan change in November 2003. A master plan for development of the Elam sector of the City Campus for Fine Arts and student accommodation was completed during 2003.
- Steady progress has been made during 2003 on development of medium-term accommodation plans, in particular for the faculties of Science, Engineering and Medical and Health Sciences.
- Major capital projects completed during 2003 included:
  - Extension to the Maths and Physics Building
  - Engineering Atrium and Lecture Theatre
  - Engineering Central Plant and Site Services
  - Kate Edger Information Commons and Student Commons
  - Student Union Foodcourt and Retail
  - Student Commons Graduate Lounge
  - Engineering and Science Research Centre at Tamaki
  - Chemistry Building Refit - Levels 5, 6 and 7
  - City Campus Heating - Sector 300
  - Philson Library Alterations
  - Cancer Research Chemistry Lab
  - Rehutai Extension
  - Alten Road Creche



# STATEMENT OF SERVICE PERFORMANCE (CONTINUED)

- Symonds Street Early Childhood Centre
- Park Avenue Infant and Toddler Centre
- 19A Princes Street Fitout
- ClockTower East Wing Refit
- Science Building - Level 1
- Major capital projects on which construction progressed in 2003 included:
  - Population Health Complex
  - Fale Pasifika
  - Grafton Staff and Student Amenities
  - City Campus Wayfinding
  - Wynyard Street Precinct Site Services
  - IT Centre Services and Security Upgrade
  - Business School Complex
  - 70 Symonds Street Fitout - levels 2, 3 and 4
  - Music Suite in Building 117
  - Tamaki Student Amenities Upgrade
  - UniSports Training Centre Changing Facilities
- Major maintenance projects completed during 2003 included:
  - O'Rorke Hall Exterior Maintenance
  - City Campus Buildings Exterior Maintenance
  - Human Sciences Building Lighting
- Major maintenance projects started during 2003 included:
  - ClockTower Building Exterior Maintenance
  - Otis Lifts Upgrade
  - Main Switchboard Replacements
- Occupancy agreements with all PACs were introduced in 2003 with rent based on market rental rates and operating expenses based on recovery of actual costs incurred.
- Service level agreements for facility management services provided, or managed, by Property Services were also implemented to complement the occupancy agreements.
- Fixed rate, variable volume term contracts were secured for supply of electricity to all campuses to eliminate exposure to extreme fluctuations in spot market prices as occurred early in 2003.

## PERFORMANCE INDICATORS

	2003 TARGET	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL
<b>Financial measures (\$millions)</b>				
Revenue	494.3	505.7	460.4	416.0
Operating surplus	14.6	15.3	11.6	10.0
Net cash flows from operating activities	64.4	81.1	69.3	57.8
Net equity	679	745	709	644
<b>Liquidity measures</b>				
Cash inflow as a per cent of cash outflow (from operations)	115.1	118.8	117.5	116.1
Debt:equity (Total liabilities as a % of total equity)	19.9	20.5	19.8	17.7
<b>Library resources</b>				
Total printed volumes (000's)	1,790	1,898	1,834	1,742
Serial titles (electronic) and e books	17,500	132,911	56,146	16,272

→ BUILDINGS

Gross area of University buildings (m <sup>2</sup> )	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL	2000 ACTUAL
	401,688	376,721	374,555	372,722

There are a total of 137 (in 2002 there were 149) buildings across all campuses, which are included in the Statement of Financial Position. In addition, the University leases space in 29 buildings (21 in 2002).

**LAND**

The University is responsible for a total land area of 175.8ha (176.8 in 2002). This includes 18.5ha (19.9 in 2002) on the City Campus, 32.2ha (32.2ha 2002) at the Tamaki Campus and 122.2ha (122.0ha 2002) at the Leigh Marine Research Laboratory and various bush reserves.

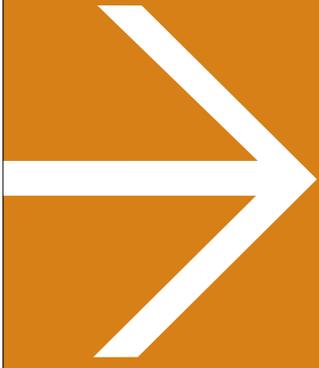
Within the total land area is 107.2ha (107.1 2002) of land owned by the Crown and valued at \$45 million.

→ LIBRARY RESOURCES

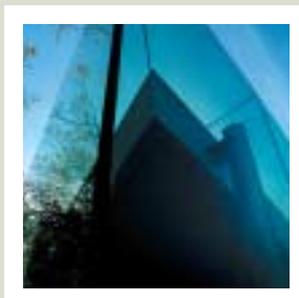
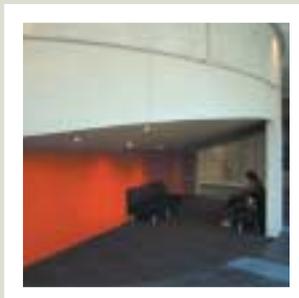
	2003 ACTUAL	2002 ACTUAL	2001 ACTUAL	2000 ACTUAL
<b>Collections:</b>				
Books	1,297,268	1,275,251	1,193,402	1,196,664
Serials (volumes)	601,474	558,877	549,448	534,732
Total printed volumes	1,898,742	1,834,128	1,742,850	1,731,396
Serial titles held	18,310	28,400	27,804	23,939
<b>Other items:</b>				
Electronic serials	45,874	45,915	10,433	6,931
Electronic books	87,037	10,231	5,839	--
Microfilms	351,029	345,918	343,328	341,061
Sound recordings	11,872	10,717	8,950	8,544
Visual recordings	8,711	6,273	5,290	4,684
Cartographic materials	45,805	49,542	53,636	55,246
Graphic materials	44,036	44,014	43,915	43,872
Slides and multimedia	37,173	40,138	40,106	40,063
Computer files	6,277	5,021	4,150	3,612
Archives and manuscripts (metres)	2,452.5	2,438.5	1,677	1,675
<b>Services:</b>				
<b>Loans:</b>				
Books and periodicals	745,047	681,831	681,809	723,941
Desk copies	286,595	237,151	288,743	311,238
<b>Total</b>	<b>1,031,642</b>	<b>918,982</b>	<b>970,552</b>	<b>1,035,179</b>
<b>Reservations</b>	<b>87,686</b>	<b>91,462</b>	<b>84,616</b>	<b>69,577</b>
<b>Interloans:</b>				
Items borrowed	17,979	18,139	18,130	24,116
Items lent	18,184	19,366	14,651	14,620
Number of Academic courses using CECIL	2,331	1,067	489	351

The University has 15 (16 in 2002) separate libraries and information commons on the four campuses together with an off-campus storage facility. The General Library is open for 79 (99 in 2002) hours per week with extended hours during exam periods. The Information Commons is open for 113 hours per week during the year. There are 3,297 (2,859 in 2002) reading spaces available in the system, of which 1,359 (1,360 in 2002) are in the General Library, and 1,938 (1,499 in 2002) in the divisional libraries and the Information Commons. There are also 740 (315 in 2002) computer workstations in the library system.

The General Library has a total shelving capacity of 24,887 metres (25,915 metres in 2002), with a further 31,572 metres (38,214 metres in 2002) in the divisional libraries and offsite storage.



# THE NEW ENGINEERING BUILDING



THE FACULTY OF  
ENGINEERING'S NEW  
ATRIUM HAS PROVIDED  
ENGINEERING STUDENTS  
AND ACADEMICS ALIKE  
WITH THE ATMOSPHERE  
AND ENVIRONMENT  
NEEDED TO NURTURE  
BOTH ACADEMIC AND  
SOCIAL DEVELOPMENT.

The Engineering Atrium was officially opened in October 2004 by Sir Colin Maiden, an engineering graduate from the Faculty of Engineering, Rhodes Scholar and Vice-Chancellor of the University from 1971 to 1994.

The Atrium builds on the existing building and contains a new oval-shaped 250 seat lecture theatre, four new computer laboratories, a student cafeteria, and a variety of social and study spaces.

The Engineering students have embraced the Atrium and its facilities beyond expectations and the area is alive with students from 7am to 10pm from Monday to Friday.

The Atrium is also being used as an event venue and students put on entertainment every Friday, adding to the interaction between students and staff, and other students.





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# STATEMENT OF RESPONSIBILITY BY COUNCIL AND MANAGEMENT

FOR THE YEAR ENDED 31 DECEMBER 2003

1. The Council and Management of The University of Auckland accept responsibility for the preparation of the Financial Statements and the judgements used in them.
2. The Council and Management of The University of Auckland accept responsibility for establishing and maintaining a system of internal control which has been designed to provide reasonable assurance as to the integrity and reliability of financial reporting.
3. In the opinion of the Council and Management of The University of Auckland, the Financial Statements for the year ended 31 December 2003 fairly reflect the financial position and operations of The University of Auckland.
4. The Council of The University of Auckland has reviewed these Financial Statements and by resolution approved these Financial Statements for issue at its meeting of 15 March 2004.

**Chancellor**

John Graham

**Vice-Chancellor**

John Hood

**Director of Administration**

Jonathan Blakeman



# STATEMENT OF ACCOUNTING POLICIES

FOR THE YEAR ENDED 31 DECEMBER 2003

## Reporting Entity

The University of Auckland was established by The University of Auckland Act 1961. The University had previously operated as Auckland University College (part of the University of New Zealand).

These financial statements report on the activities of The University of Auckland and its subsidiaries.

The financial statements have been prepared in accordance with the requirements of Section 41 of the Public Finance Act 1989 and Section 203 of the Education Act 1989, which includes the requirement to comply with generally accepted accounting practice in New Zealand.

## Measurement Base

The financial statements have been prepared on an historical cost basis, with the exception of certain items for which specific accounting policies are identified.

## Accounting Policies

The following accounting policies, which materially affect the measurement of financial performance and financial position, have been applied:

### BASIS OF CONSOLIDATION

The financial statements of subsidiary companies are consolidated in the financial statements of the University using the purchase method. Inter entity transactions and inter entity balances have been eliminated on consolidation.

### REVENUE

Government grants, except where they are identified as a capital injection, are recognised as revenue upon entitlement. Unrestricted donations are recognised as revenue upon entitlement. Assets donated are recognised at fair value. Where the University receives a donation with obligations, a liability is recognised. Once the obligation is discharged, the donation is recognised as revenue.

Sponsored research is recognised as revenue upon entitlement. Research contract revenue is reduced by the obligation to complete research where billing entitlement is in advance of performing the research agreed in the contract.

### FINANCIAL INSTRUMENTS

The University is party to financial instrument arrangements as part of its everyday operations. These financial instruments include bank accounts, short term deposits, accounts receivable, accounts payable, long term investments and externally managed funds, all of which are recognised in the Statement of Financial Position. Revenue and expenses in relation to these instruments are recognised in the Statement of Financial Performance.

The University enters into foreign currency forward exchange contracts to hedge certain trading transactions, including anticipated transactions, denominated in foreign currencies. Gains and losses on contracts which hedge specific short-term foreign currency denominated transactions are recognised as a component of the related transaction in the period in which the transaction is completed.

### INVESTMENTS

Investments are valued at the lower of cost and market value except for company shares bequeathed, donated or gifted to the University. These are valued at market value on the date they were transferred to the University.

### RECEIVABLES

Accounts receivable are stated at their estimated realisable value after providing for amounts not considered recoverable.

### INVENTORIES

Inventories are valued at the lower of cost and net realisable value. The weighted average method is used to determine cost.

### PROPERTY, PLANT AND EQUIPMENT

*Land and Buildings and Works of Art* are revalued to fair value every three years, as determined by an independent valuer. Fair value for land has been determined on its highest and best use taking into consideration restrictions over the use of the land and the likelihood of re-zoning. For buildings, it reflects the depreciated replacement cost and works of art, the assessed market value.



# STATEMENT OF ACCOUNTING POLICIES (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## PROPERTY, PLANT AND EQUIPMENT (CONTINUED)

Revaluations are transferred to the asset revaluation reserve for that class of assets. If any revaluation reserve class has a deficit, that deficit is recognised in the Statement of Financial Performance in the period it arises. In subsequent periods any revaluation surplus that reverses previous revaluation deficits is recognised as revenue in the Statement of Financial Performance.

All items of property, plant and equipment are initially recorded at cost.

Land owned by the Crown is included in Property, Plant and Equipment. The University has unobstructed control of this land and derives substantial tangible benefits from its use. The University has sole and unrestricted use of buildings located on Crown land and has assumed ownership of these buildings. Although legal title has not been transferred, the University has assumed all the normal risks and rewards of ownership.

*Library Books and Periodicals* held as at 31 December 1991 were valued internally based on the estimated volume of the collection and weighted average cost as at that date. All subsequent acquisitions are recorded at cost. All permanent withdrawals from the collection are recorded at average cost.

*Teaching and Research Equipment, Computer Equipment and Plant and Equipment* are valued at cost.

Asset purchases excluding computer equipment and which are less than \$5,000 are expensed at the time of acquisition. Computer equipment purchases less than \$1,000 are expensed at the time of acquisition.

*Leasehold Improvements* are valued at cost.

*Work in Progress* is valued on the basis of expenditure incurred and certified Gross Progress Claim Certificates up to balance date. Work in Progress is not depreciated.

## DEPRECIATION

Property, Plant and Equipment other than freehold land are depreciated using the straight-line method (except for the Library collection, which uses the diminishing value method) at rates that will write off the cost or value of assets less their residual values, over their estimated remaining useful life. The depreciation rates used for each class of asset are:

Buildings	1 - 10%
Library collection	8% DV
Teaching and research equipment	10 - 20%
Computer equipment	33 - 50%
Plant and equipment	5 - 20 %
Leasehold improvements	9 - 21%

Depreciation on all assets except buildings is charged to the significant activity that specifically uses the asset. Depreciation on buildings is recognised in Property Services as occupancy cost and charged to activity centres on the basis of square metres occupied.

## INTANGIBLE ASSETS

*Goodwill* comprising rights, title to and interest in certain contracts assigned to the University, is amortised over the period during which the benefit is expected to accrue, up to a maximum of 20 years.

*Patent costs* incurred by Auckland UniServices Limited are capitalised if the directors believe the patents will be sold or licensed within two years; otherwise these costs are expensed. Capitalised costs are amortised over the period in which income is expected to be received, up to a maximum of 20 years.

*Development costs* incurred by Auckland UniServices Limited have been capitalised only where a product has proven to be technically feasible and a clear market exists for the product. Development costs are amortised over the period in which the products concerned are expected to be sold, up to a maximum of 10 years. The amortisation periods are reviewed annually by the directors.

## EMPLOYEE ENTITLEMENTS

Provision is made in respect of the University's liability for annual leave, long service leave and retirement gratuities. Annual leave is calculated on an actual entitlement basis at current rates of pay. Long service leave and retirement gratuities have been calculated on an actuarial basis which estimates the present value of amounts payable in respect of existing employees based on assumed rates of death, disablement, resignation, retirement and salary progression.



# STATEMENT OF ACCOUNTING POLICIES (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## GOODS AND SERVICES TAX (GST)

GST is excluded from the financial statements except for Accounts Receivable and Accounts Payable which are stated inclusive of GST. The balance of GST payable to the Inland Revenue Department is included in Accounts Payable.

## TAXATION

Tertiary institutions are exempt from the payment of income tax as they are treated by the Inland Revenue Department as charitable organisations. Accordingly no charge for income tax is provided.

## TRUST AND SPECIAL FUNDS

The University has established Trust and Special Funds for specific purposes. The conditions for use of those funds are imposed by Council, deed, gift or by the terms of endowments and bequests. The funds are transferred to general equity when no longer required for that purpose.

## FOREIGN CURRENCY

Foreign currency transactions throughout the year are converted into New Zealand dollars at the exchange rate on the date of the transaction. Short-term transactions covered by foreign currency forward exchange contracts are measured and reported at the forward rates specified in those contracts. Foreign currency balances, as at 31 December, are valued at the exchange rates prevailing on that date. Foreign exchange gains and losses are recognised in the Statement of Financial Performance.

## LEASES

*Operating lease* rentals are recognised in equal instalments over the period of the lease.

*Finance leases*, which effectively transfer to the University substantially all of the risks and benefits of ownership of the leased item, are capitalised at the present value of the minimum lease payments. The leased assets and corresponding liabilities are recognised and the leased assets are depreciated over the period the University is expected to benefit from their use.

## STATEMENT OF CASH FLOWS

Cash is defined as coins, notes, demand deposits, and other highly liquid investments which may be converted into coins and notes within no more than two working days.

## BUDGET FIGURES

The budget figures are those approved by Council before the beginning of the financial year.

The budget figures have been prepared in accordance with generally accepted accounting practice in New Zealand and are consistent with the accounting policies adopted by Council for the preparation of the financial statements.

## Changes in Accounting Policy

There have been no changes in accounting policies since the date of the last audited financial statements. The policies have been applied on bases consistent with the previous year.



## STATEMENT OF FINANCIAL PERFORMANCE

FOR THE YEAR ENDED 31 DECEMBER 2003

	Note	CONSOLIDATED			UNIVERSITY	
		2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>OPERATING REVENUE</b>						
Government grants	3	191,324	190,746	179,747	191,324	179,747
Tuition fees		134,871	134,102	116,050	134,871	116,050
Research contracts		109,584	104,530	97,365	47,039	41,418
Service income		53,120	50,945	52,443	56,031	54,585
Donations		3,751	3,622	4,031	3,751	4,031
Interest		5,877	4,672	6,754	4,589	5,493
Other income		7,170	5,638	4,031	7,009	4,093
Total operating revenue		505,697	494,255	460,421	444,614	405,417
<b>OPERATING EXPENSES</b>						
People costs	2	272,455	268,405	248,532	245,546	224,513
Operating costs	2	168,238	162,059	155,351	135,575	124,650
Depreciation	2	49,700	49,233	44,900	48,972	44,306
Total operating expenses		490,393	479,697	448,783	430,093	393,469
<b>CURRENT OPERATING SURPLUS FOR THE YEAR</b>		<b>15,304</b>	<b>14,558</b>	<b>11,638</b>	<b>14,521</b>	<b>11,948</b>
Non Operating Revenue*		994	—	126	994	126
Non Current Adjustments**		—	—	(4,617)	—	(4,617)
<b>NET SURPLUS TRANSFERRED TO UNIVERSITY EQUITY</b>		<b>16,298</b>	<b>14,558</b>	<b>7,147</b>	<b>15,515</b>	<b>7,457</b>

\* Non Operating Revenue is income received specifically as capital contributions toward the acquisition of assets and endowments and is not available as a contribution towards operating costs.

\*\* Non Current Adjustments in 2002 were due to the writedown of expenses capitalised in prior years.



## STATEMENT OF MOVEMENTS IN EQUITY

FOR THE YEAR ENDED 31 DECEMBER 2003

	Note	CONSOLIDATED			UNIVERSITY	
		2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Equity at start of the year		709,131	657,744	643,607	706,541	640,707
Transferred from Statement of Financial Performance		16,298	14,558	7,147	15,515	7,457
(Decrease) / Increase in revaluation reserve	18	(1,489)	—	51,029	(1,489)	51,029
Contribution from the Crown***	17	20,658	6,250	7,348	20,658	7,348
<b>EQUITY AT END OF THE YEAR</b>		<b>744,598</b>	<b>678,552</b>	<b>709,131</b>	<b>741,225</b>	<b>706,541</b>

\*\*\* Contribution from the Crown represents a capital injection of \$16.627m towards the construction of the new Business School and Centre of Research Excellence capital funds payment of \$4.031m.

The Statement of Accounting Policies on pages 55 to 57 and the Notes to the Financial Statements on pages 61 to 71 form part of and should be read in conjunction with these statements.



# STATEMENT OF FINANCIAL POSITION

AS AT 31 DECEMBER 2003

	Note	CONSOLIDATED			UNIVERSITY	
		2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>CURRENT ASSETS</b>						
Cash and bank	6	4,177	700	4,426	3,310	4,044
Short term investments - unrestricted	6	43,451	4,641	44,483	33,000	21,000
Short term investments - restricted	6	1,983	2,082	288	1,983	288
Receivables and prepayments	7	22,286	28,355	22,095	15,733	14,237
Inventories	8	7,124	11,696	9,029	3,352	2,500
<b>Total Current Assets</b>		<b>79,021</b>	<b>47,474</b>	<b>80,321</b>	<b>57,378</b>	<b>42,069</b>
<b>CURRENT LIABILITIES</b>						
Finance lease liabilities	10	886	—	811	886	811
Payables	11	120,774	107,537	111,419	102,022	75,138
Employee entitlements	12	9,965	8,736	8,664	8,966	7,890
Provisions	13	3,950	2,604	2,327	3,950	2,327
<b>Total Current Liabilities</b>		<b>135,575</b>	<b>118,877</b>	<b>123,221</b>	<b>115,824</b>	<b>86,166</b>
<b>WORKING CAPITAL</b>		<b>(56,554)</b>	<b>(71,403)</b>	<b>(42,900)</b>	<b>(58,446)</b>	<b>(44,097)</b>
<b>NON CURRENT ASSETS</b>						
Long term investments - unrestricted	6	2,314	1,573	1,573	3,314	2,573
Long term investments - restricted	6	12,322	12,410	15,061	12,096	14,855
Loans		1,941	368	328	1,711	340
Property, plant and equipment	9	801,622	751,861	752,231	799,597	750,032
<b>Total Non Current Assets</b>		<b>818,199</b>	<b>766,212</b>	<b>769,193</b>	<b>816,718</b>	<b>767,800</b>
<b>NON CURRENT LIABILITIES</b>						
Employee entitlements	12	15,649	16,257	14,878	15,649	14,878
Finance lease liabilities	10	1,398	—	2,284	1,398	2,284
<b>Total Non Current Liabilities</b>		<b>17,047</b>	<b>16,257</b>	<b>17,162</b>	<b>17,047</b>	<b>17,162</b>
<b>NET ASSETS</b>		<b>744,598</b>	<b>678,552</b>	<b>709,131</b>	<b>741,225</b>	<b>706,541</b>
<b>REPRESENTED BY:</b>						
General equity	17	663,661	645,320	627,207	660,288	624,617
Revaluation reserves	18	65,728	17,158	67,217	65,728	67,217
Trust and special funds	19	15,209	16,074	14,707	15,209	14,707
<b>TOTAL EQUITY</b>		<b>744,598</b>	<b>678,552</b>	<b>709,131</b>	<b>741,225</b>	<b>706,541</b>

The Statement of Accounting Policies on pages 55 to 57 and the Notes to the Financial Statements on pages 61 to 71 form part of and should be read in conjunction with these statements.



# STATEMENT OF CASH FLOWS

FOR THE YEAR ENDED 31 DECEMBER 2003

	Note	CONSOLIDATED			UNIVERSITY	
		2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>						
Cash was provided from:						
Government grants		188,861	190,746	183,072	188,861	183,072
Tuition fees		133,895	137,347	122,797	133,895	122,797
Dividends received		15	155	49	165	199
Interest received		5,863	4,724	6,968	4,575	5,707
Other operating receipts		184,483	157,571	152,527	119,243	97,435
		513,117	490,543	465,413	446,739	409,210
Cash was applied to:						
Goods and services tax		(6,185)	(1,612)	1,401	(5,840)	1,239
Payments to employees		244,750	246,487	222,257	218,175	198,650
Interest paid		250	664	162	250	162
Other operating payments		193,239	180,629	172,332	160,526	141,562
		432,054	426,168	396,152	373,111	341,613
<b>NET CASH FLOWS FROM OPERATING ACTIVITIES</b>	<b>5</b>	<b>81,063</b>	<b>64,375</b>	<b>69,261</b>	<b>73,628</b>	<b>67,597</b>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>						
Cash was provided from:						
Loan from subsidiary company		—	—	—	19,084	—
Property, plant and equipment		17	—	4,043	17	4,043
Capital contributions		21,653	6,250	7,474	21,653	7,474
Investments		2,217	(57)	—	2,217	—
		23,887	6,193	11,517	42,971	11,517
Cash was applied to:						
Property, plant and equipment and work in progress		101,961	112,245	95,639	101,406	93,654
Investments		1,833	—	(674)	1,572	117
		103,794	112,245	94,965	102,978	93,771
<b>NET CASH FLOWS FROM INVESTING ACTIVITIES</b>		<b>(79,907)</b>	<b>(106,052)</b>	<b>(83,448)</b>	<b>(60,007)</b>	<b>(82,254)</b>
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>						
Cash was applied to:						
Repayment of finance lease liabilities		811	—	645	811	645
		811	—	645	811	645
<b>NET CASH FLOWS FROM FINANCING ACTIVITIES</b>		<b>(811)</b>	<b>—</b>	<b>(645)</b>	<b>(811)</b>	<b>(645)</b>
<b>NET INCREASE / (DECREASE) IN CASH HELD</b>		<b>345</b>	<b>(41,677)</b>	<b>(14,832)</b>	<b>12,810</b>	<b>(15,302)</b>
Opening cash balance		49,197	49,100	63,924	25,332	40,413
Effects of exchange rate changes on cash		69	—	105	151	221
<b>CLOSING CASH BALANCE</b>		<b>49,611</b>	<b>7,423</b>	<b>49,197</b>	<b>38,293</b>	<b>25,332</b>
This is shown in the Statement of Financial Position as follows:						
Cash and bank		4,177	700	4,426	3,310	4,044
Short term investments - unrestricted		43,451	4,641	44,483	33,000	21,000
Short term investments - restricted		1,983	2,082	288	1,983	288
		49,611	7,423	49,197	38,293	25,332

The Statement of Accounting Policies on pages 55 to 57 and the Notes to the Financial Statements on pages 61 to 71 form part of and should be read in conjunction with these statements.



# NOTES TO THE FINANCIAL STATEMENTS

FOR THE YEAR ENDED 31 DECEMBER 2003

## 1 Comparatives

The 2002 financial statements have been restated to conform with the presentation of financial statements adopted in this report.

While the underlying transactions have not been altered the comparatives have been restated to enable valid comparisons to be made with the current year.

## 2 Operating Expenses

	CONSOLIDATED			UNIVERSITY	
	2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>PEOPLE COSTS</b>					
Academic salaries	144,340	146,268	129,418	133,040	120,668
General salaries	98,825	93,170	89,621	83,495	74,619
Other salary related expenses	29,290	28,967	29,493	29,011	29,226
	272,455	268,405	248,532	245,546	224,513
<b>OPERATING COSTS</b>					
Fees paid to auditors - external audit	210	180	164	185	143
- other services	499	—	276	435	273
Bad debts written off	271	—	190	248	126
Change in provision for doubtful debts	(170)	—	1,336	(221)	660
Council members and Directors fees	11	—	9	11	9
Interest expense	—	664	11	—	11
Interest on finance lease	250	—	151	250	151
Loss on disposal of property, plant and equipment	549	—	1,488	549	1,488
Net foreign currency (gain)	(69)	—	(105)	(151)	(221)
Prizes and scholarships	11,849	10,225	9,810	11,711	9,654
Operating lease cost - properties	7,444	7,309	6,336	7,444	6,336
- equipment	11,513	6,944	10,321	11,481	10,290
Other operating expenses	135,881	136,737	125,364	103,633	95,730
	168,238	162,059	155,351	135,575	124,650
<b>DEPRECIATION</b>					
Buildings and leasehold improvements	21,136	20,791	19,600	21,136	19,600
Library collection	8,318	8,225	8,220	8,318	8,220
Plant and equipment	19,498	20,217	16,519	18,770	15,925
Leased equipment	748	—	561	748	561
	49,700	49,233	44,900	48,972	44,306
<b>TOTAL OPERATING EXPENSES</b>	<b>490,393</b>	<b>479,697</b>	<b>448,783</b>	<b>430,093</b>	<b>393,469</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 3 Government Grants

	UNIVERSITY / CONSOLIDATED		
	2003 Actual \$000	2003 Budget \$000	2002 Actual \$000
EFTS Grant	186,342	185,996	172,278
Clinical Training Agency	1,823	1,799	1,935
Student stipends	2,065	2,011	1,771
Students with disabilities	1,094	940	3,763
<b>TOTAL GOVERNMENT GRANTS</b>	<b>191,324</b>	<b>190,746</b>	<b>179,747</b>

## 4 Cost of Service Statements

The University reports its cost of services on the basis of significant activities. The University has analysed the wide variety of activities performed throughout the organisation into the following significant activities.

- Teaching and Research
- Research Programmes
- Academic Services
- Institutional Services

The Cost of Service Summary on page 72 reconciles costs and income from significant activities to total revenue and total expenses as disclosed in the Statement of Financial Performance.

## 5 Reconciliation of Operating Surplus and Net Cash Flows from Operating Activities

	CONSOLIDATED			UNIVERSITY	
	2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Operating surplus for the year	15,304	14,558	11,638	14,521	11,948
Add / (less) non cash items					
Depreciation	49,700	49,233	44,900	48,972	44,306
Donated assets	(1,555)	(1,530)	(1,787)	(1,555)	(1,787)
Foreign exchange fluctuation	(69)	—	(105)	(151)	(221)
	48,076	47,703	43,008	47,266	42,298
Add / (less) movements in working capital					
(Increase) / Decrease in receivables	(191)	(4,048)	(3,286)	(1,496)	(501)
(Increase) / Decrease in inventory	1,905	(2,254)	(2,219)	(852)	214
Increase / (Decrease) in payables	13,348	6,760	18,103	11,793	11,909
Increase / (Decrease) in employee entitlements	1,301	187	(201)	1,076	(489)
	16,363	645	12,397	10,521	11,133
Less items classed as investing activity					
Loss on sale of property, plant and equipment	549	—	1,488	549	1,488
	549	—	1,488	549	1,488
Operating expenditure relating to movements in long term provisions	771	1,469	730	771	730
	771	1,469	730	771	730
<b>NET CASH FLOWS FROM OPERATING ACTIVITIES</b>	<b>81,063</b>	<b>64,375</b>	<b>69,261</b>	<b>73,628</b>	<b>67,597</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 6 Financial Instruments

### CONSOLIDATED

	Weighted Average Interest Rate %	Mature within one year \$000	Mature in over one year \$000	2003 Book Value \$000	2003 Fair Value \$000	2002 Book Value \$000
Cash and bank	1.90	4,177	—	4,177	4,177	4,426
Bank deposits and bills	5.18	43,451	—	43,451	43,451	44,483
Share portfolio	—	—	177	177	177	177
Other investments	—	—	4,304	4,304	4,304	1,930
Restricted Funds-Externally Managed Equities Portfolio	—	—	3,517	3,517	3,923	5,492
Restricted Funds-Externally Managed Bonds and Cash Portfolio	5.91	1,983	8,579	10,562	10,662	9,651
<b>TOTAL FINANCIAL ASSETS - CONSOLIDATED</b>		<b>49,611</b>	<b>16,577</b>	<b>66,188</b>	<b>66,694</b>	<b>66,159</b>

### UNIVERSITY

	Weighted Average Interest Rate %	Mature within one year \$000	Mature in over one year \$000	2003 Book Value \$000	2003 Fair Value \$000	2002 Book Value \$000
Cash and bank	2.00	3,310	—	3,310	3,310	4,044
Bank deposits and bills	5.24	33,000	—	33,000	33,000	21,000
Shares in subsidiaries	—	—	1,000	1,000	1,000	1,000
Other investments	—	—	4,025	4,025	4,025	1,913
Restricted Funds-Externally Managed Equities Portfolio	—	—	3,517	3,517	3,923	5,492
Restricted Funds-Externally Managed Bonds and Cash Portfolio	5.91	1,983	8,579	10,562	10,662	9,651
<b>TOTAL FINANCIAL ASSETS - UNIVERSITY</b>		<b>38,293</b>	<b>17,121</b>	<b>55,414</b>	<b>55,920</b>	<b>43,100</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 6 Financial Instruments (continued)

DISCLOSED IN THE STATEMENT OF FINANCIAL POSITION AS:

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Cash and bank	4,177	4,426	3,310	4,044
Short term investments - unrestricted	43,451	44,483	33,000	21,000
Short term investments - restricted	1,983	288	1,983	288
Long term investments - unrestricted	2,314	1,573	3,314	2,573
Long term investments - restricted	12,322	15,061	12,096	14,855
Loans	1,941	328	1,711	340
<b>TOTAL FINANCIAL ASSETS</b>	<b>66,188</b>	<b>66,159</b>	<b>55,414</b>	<b>43,100</b>

Restricted investments are held for purposes specified by trust and special funds. They are not available for general University use.

### UNIVERSITY

	Mature within one year \$000	2003 Book Value \$000	2003 Fair Value \$000	2002 Book Value \$000
Loan from subsidiary company	19,084	19,084	19,084	—
<b>TOTAL FINANCIAL LIABILITIES - UNIVERSITY</b>	<b>19,084</b>	<b>19,084</b>	<b>19,084</b>	<b>—</b>

### FAIR VALUES OF FINANCIAL ASSETS AND LIABILITIES

The following assumptions have been used to estimate the fair value of each class of financial instrument.

#### *Bank deposits and Bank bills*

The carrying amounts of these balances are equivalent to their fair value because of their short maturity.

#### *Bank bonds, Commercial paper, NZ Government securities, SOE stock and Local Authority stock*

The fair value of these investments is based on current market interest rates for investments of similar terms or maturities.

#### *Share portfolio*

Shares are held at cost.

#### *Independently Managed Trust Fund Investments*

The fair value of these investments is based on current market interest rates and share prices as advised by independent investment managers.

#### *Loan from Subsidiary Company*

The fair value of the loan is based on current market interest rates for a loan of similar terms and maturity.



## 6 Financial Instruments (continued)

### INTEREST RATE RISK

Interest rate risk is the risk that the value of a financial instrument will fluctuate due to changes in market interest rates.

The value of the above securities is affected by changes in interest rates.

### CREDIT RISK

Credit risk is the risk that one party to a financial instrument will fail to discharge an obligation and cause the other party to incur a financial loss.

The University places investments with institutions which have a high credit rating. The University also reduces its exposure to risk by limiting the amount that can be invested in any one institution. The University believes that these policies reduce the risk of any loss which could arise from its investment activities.

There is no concentration of credit risk in Receivables.

### CURRENCY RISK

Currency risk is the risk that the value of a financial instrument will fluctuate due to changes in foreign exchange rates.

The University has no significant exposure to currency risk.

Foreign currency bank balances are held to meet future payments contracted in these currencies.

The University uses forward foreign exchange contracts to manage exposure to foreign exchange risk from offshore transactions.

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Forward foreign exchange contracts	338	1,671	—	1,331

### BORROWINGS

In 2003, the University negotiated an unsecured Fluctuating Committed Cash Advance Facility with a maximum limit of \$50 million, and an expiry date of 31 December 2004. As at 31 December 2003, the University had not drawn down against this facility.

### SHARES IN SUBSIDIARIES

Name	Interest	Principal activities	Balance date
Auckland UniServices Limited	100%	Commercial research	31 December
Uni-Accommodation Limited	100%	Student accommodation	31 December



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 7 Receivables and Prepayments

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Trade receivables	17,058	19,420	7,611	9,603
Less provision for doubtful debts	(2,812)	(2,982)	(1,962)	(2,184)
Net receivables	14,246	16,438	5,649	7,419
Related company receivables	—	—	2,044	1,171
Accrued interest	269	255	269	255
Prepayments	7,771	5,402	7,771	5,392
<b>TOTAL RECEIVABLES AND PREPAYMENTS</b>	<b>22,286</b>	<b>22,095</b>	<b>15,733</b>	<b>14,237</b>

## 8 Inventories

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Raw materials	70	23	70	23
Research contracts in progress	6,480	8,420	2,709	1,891
Other work in progress	4	4	4	4
Finished goods	570	582	569	582
<b>TOTAL INVENTORIES</b>	<b>7,124</b>	<b>9,029</b>	<b>3,352</b>	<b>2,500</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 9 Property, Plant and Equipment

		CONSOLIDATED		UNIVERSITY	
		2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Freehold land	- at cost / valuation	83,767	86,896	83,574	86,703
	Net Book Value	83,767	86,896	83,574	86,703
Buildings	- at cost / valuation	505,213	435,694	504,846	435,327
	- accumulated depreciation	(36,680)	(17,343)	(36,572)	(17,256)
	Net Book Value	468,533	418,351	468,274	418,071
Leasehold improvements	- at cost / valuation	16,591	14,411	15,541	13,463
	- accumulated depreciation	(7,654)	(5,746)	(7,365)	(5,586)
	Net Book Value	8,937	8,665	8,176	7,877
Library collection	- at cost / valuation	150,740	139,288	150,740	139,288
	- accumulated depreciation	(50,056)	(42,211)	(50,056)	(42,211)
	Net Book Value	100,684	97,077	100,684	97,077
Works of art	- at cost / valuation	7,693	8,850	7,693	8,850
	Net Book Value	7,693	8,850	7,693	8,850
Plant and equipment	- at cost	178,197	157,807	175,740	155,785
	- accumulated depreciation	(100,459)	(92,033)	(98,814)	(90,949)
	Net Book Value	77,738	65,774	76,926	64,836
Leased plant and equipment	- at cost	3,740	3,740	3,740	3,740
	- accumulated depreciation	(1,309)	(561)	(1,309)	(561)
	Net Book Value	2,431	3,179	2,431	3,179
Other property, plant and equipment	- at cost	5,847	3,312	5,847	3,312
	Net Book Value	5,847	3,312	5,847	3,312
Capital work in progress	- at cost	45,992	60,127	45,992	60,127
	Net Book Value	45,992	60,127	45,992	60,127
Total Property, Plant and Equipment	- at cost / valuation	997,780	910,125	993,713	906,595
	- accumulated depreciation	(196,158)	(157,894)	(194,116)	(156,563)
<b>PROPERTY, PLANT AND EQUIPMENT – NET BOOK VALUE</b>		<b>801,622</b>	<b>752,231</b>	<b>799,597</b>	<b>750,032</b>

All land and buildings occupied by the three campuses were revalued as at 1 January 2002.

Land and building revaluations were carried out by DTZ New Zealand Ltd, Registered Valuers.

Works of art have been revalued by Peter Webb Galleries as at 31 December 2002.

Acquisitions since the date of revaluation are recorded at cost.

Crown land with a value of \$44,998,558 is included in Property, Plant and Equipment.



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 10 Finance Lease Liabilities

	CONSOLIDATED / UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000
Due within 1 year	886	811
Due within 1 to 2 years	968	886
Due within 2 to 5 years	430	1,398
Due in over five years	—	—
	<b>2,284</b>	<b>3,095</b>
<b>DISCLOSED IN STATEMENT OF FINANCIAL POSITION AS:</b>		
Current Liabilities	886	811
Non Current Liabilities	1,398	2,284
<b>TOTAL FINANCE LEASE LIABILITIES</b>	<b>2,284</b>	<b>3,095</b>

## 11 Payables

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
Trade payables	60,357	56,078	53,123	49,744
Related company payables	—	—	19,957	262
Revenue received in advance	5,303	10,356	5,286	10,356
Research contract obligations	54,615	44,428	23,229	14,323
Other payables	499	557	427	453
<b>TOTAL PAYABLES</b>	<b>120,774</b>	<b>111,419</b>	<b>102,022</b>	<b>75,138</b>

## 12 Employee Entitlements

	CONSOLIDATED		UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>CURRENT LIABILITIES</b>				
Accumulated annual leave	8,044	7,043	7,045	6,269
Retirement allowance	1,905	1,393	1,905	1,393
Long service leave	16	228	16	228
<b>TOTAL EMPLOYEE ENTITLEMENTS - CURRENT</b>	<b>9,965</b>	<b>8,664</b>	<b>8,966</b>	<b>7,890</b>
<b>NON CURRENT LIABILITIES</b>				
Retirement allowance	14,405	13,920	14,405	13,920
Long service leave	1,244	958	1,244	958
<b>TOTAL EMPLOYEE ENTITLEMENTS - NON CURRENT</b>	<b>15,649</b>	<b>14,878</b>	<b>15,649</b>	<b>14,878</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 13 Provisions

	CONSOLIDATED / UNIVERSITY				
	Restructuring Provision \$000	Vice-Chancellor's University Development Fund \$000	Flexible Learning Initiatives Fund \$000	Emerging Research Areas Support Fund \$000	Total \$000
Balance 1 January 2003	15	1,663	79	570	2,327
Increase / (Decrease) to provision	(15)	3,544	—	—	3,529
Amounts incurred against provision	—	(1,593)	—	(313)	(1,906)
<b>BALANCE 31 DECEMBER 2003</b>	<b>—</b>	<b>3,614</b>	<b>79</b>	<b>257</b>	<b>3,950</b>

### RESTRUCTURING PROVISION

These amounts represent committed costs in respect of voluntary severance, redundancy, and other costs associated with restructuring plans.

### VICE CHANCELLOR'S UNIVERSITY DEVELOPMENT FUND

The fund is to enable the Vice-Chancellor to meet agreed strategic development opportunities that arise during the course of the year and which require immediate funding.

These costs are all available to be incurred in the next financial year.

### FLEXIBLE LEARNING INITIATIVES FUND

The fund is to promote the University taking a leadership position in the creation and use of flexible learning strategies.

These costs are expected to be incurred in the next financial year.

### EMERGING RESEARCH AREAS SUPPORT FUND

The fund is to provide seed funding for research activities in new areas, in existing and new research centres established according to University of Auckland policy.

These costs are all available to be incurred in the next financial year.

## 14 Contingent liabilities

No contingent liabilities have been identified as at 31 December 2003. (2002: Nil)

## 15 Operating Commitments

	CONSOLIDATED / UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000
<b>COMMITMENTS IN RESPECT OF OPERATING LEASES</b>		
Due within 1 year	18,157	16,548
Due within 1 to 2 years	12,585	12,046
Due within 2 to 5 years	15,331	13,401
Due in over five years	5,959	5,087
<b>TOTAL OPERATING LEASE COMMITMENTS</b>	<b>52,032</b>	<b>47,082</b>
<b>OPERATING LEASE COMMITMENTS BY TYPE</b>		
Properties	31,038	30,090
Equipment	20,994	16,992
<b>TOTAL OPERATING LEASE COMMITMENTS BY TYPE</b>	<b>52,032</b>	<b>47,082</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 16 Capital Commitments

	CONSOLIDATED / UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000
Property Services projects	23,629	38,220
Other capital expenditure	921	2,680
<b>TOTAL CAPITAL COMMITMENTS</b>	<b>24,550</b>	<b>40,900</b>

## 17 General Equity

Included in Equity at end of the year is a total of \$28.006m representing accumulated capital contributions made by the Crown. This funding has been made for specific purposes – Business School \$16.627m, Centres of Research Excellence \$8.841m and Tertiary Education Strategic Change Fund \$2.538m.

FRS-2 provides that only “owners’” contributions should be included in the Statement of Movements in Equity. The University of Auckland is of the opinion that the Crown does not own the University. However the Crown has made these payments above as “capital injections” under s15 of the Public Finance Act 1989. Having regard to the character of these payments they have been recorded in the Statements of Movements in Equity rather than as non-operating revenue in the Statement of Financial Performance.

## 18 Revaluation Reserves

	CONSOLIDATED / UNIVERSITY	
	2003 Actual \$000	2002 Actual \$000
<b>LAND AND BUILDINGS</b>		
Balance 1 January 2003	62,701	17,158
Transferred to retained surplus on sale of revalued assets	—	(970)
Net revaluation of land and buildings	—	46,513
<b>BALANCE 31 DECEMBER 2003</b>	<b>62,701</b>	<b>62,701</b>
<b>WORKS OF ART</b>		
Balance 1 January 2003	4,516	—
Net revaluation of works of art	(1,489)	4,516
<b>BALANCE 31 DECEMBER 2003</b>	<b>3,027</b>	<b>4,516</b>
<b>TOTAL BALANCE 31 DECEMBER 2003</b>	<b>65,728</b>	<b>67,217</b>



# NOTES TO THE FINANCIAL STATEMENTS (CONTINUED)

FOR THE YEAR ENDED 31 DECEMBER 2003

## 19 Trust and Special Funds

	CONSOLIDATED / UNIVERSITY			
	Special Funds \$000	Endowment Funds \$000	Scholarships \$000	Total \$000
Balance 1 January 2003	2,007	5,661	7,039	14,707
Income	5,668	2,908	585	9,161
Less expenditure	(5,503)	(2,481)	(675)	(8,659)
Net surplus	165	427	(90)	502
<b>BALANCE 31 DECEMBER 2003</b>	<b>2,172</b>	<b>6,088</b>	<b>6,949</b>	<b>15,209</b>

The University restricted funds disclosed in Note 6, represent the investment of Endowment Funds of \$6.088 million and Scholarships of \$6.949 million, plus \$1.042 million of Endowment and Scholarship Funds available for release to unrestricted funds.

## 20 Related Parties

The University enters into transactions with government departments and Crown agencies. These are not considered to be related party transactions.

### AUCKLAND UNISERVICES LIMITED

The University pays some of the salaries of Auckland UniServices Limited administrative staff and other administration costs which it recharges to the company. The University also charges Auckland UniServices Limited for costs incurred by departments and student scholarship costs against the company's projects.

The value of transactions charged by the University to Auckland UniServices Limited during 2003 was \$12.1 million (2002: \$9.2 million).

Auckland UniServices Limited pays some salary costs and sundry expenses on behalf of the University and recharges these to the University.

The value of transactions charged by Auckland UniServices Limited to the University during 2003 was \$2.6 million (2002: \$1.9 million).

Balances outstanding at 31 December 2003 are :

1. Sundry Debtors      \$1,630,114              (2002: \$557,969).
2. Current Account      \$414,220              (2002: \$612,876) repayable within the next twelve months.
3. Sundry Creditors      \$644,797              (2002: \$250,115).
4. Loan Account      \$19,083,912              (2002: Nil).

Sundry debtors relate to amounts owing to University Departments for scholarship charges and sundry expenses paid on behalf of Auckland UniServices Limited.

Sundry creditors relate to amounts owed by University Departments for salaries, travel expenses and other charges paid on their behalf by Auckland UniServices Limited.

The Loan Account represents cash advanced by Auckland UniServices Limited to the University.

### UNI-ACCOMMODATION LIMITED

Uni-Accommodation Limited is a wholly owned subsidiary of the University of Auckland, which leases student accommodation from investors in the Railway Campus and rents rooms to students. The University provides value added services including meal plans, telephone and laundry services to the students on its own account. The University provides management and accounting services to Uni-Accommodation Limited free of charge, and receives and pays money on behalf of Uni-Accommodation Limited.

The balance owed by the University to Uni-Accommodation Limited at 31 December 2003 is \$228,289 (2002: \$12,346).



# COST OF SERVICE SUMMARY

FOR THE YEAR ENDED 31 DECEMBER 2003

	CONSOLIDATED			UNIVERSITY	
	2003 Actual \$000	2003 Budget \$000	2002 Actual \$000	2003 Actual \$000	2002 Actual \$000
<b>COST OF SIGNIFICANT ACTIVITIES</b>					
Teaching and research	265,893	264,656	242,654	265,893	242,654
Research programmes	119,962	109,731	102,828	62,787	50,906
Academic services	106,865	106,906	91,221	103,578	87,829
Institutional services	96,450	88,569	86,604	96,612	86,604
Total cost of significant activities	589,170	569,862	523,307	528,870	467,993
less internal transactions	(98,777)	(90,165)	(74,524)	(98,777)	(74,524)
<b>TOTAL EXTERNAL COSTS</b>	<b>490,393</b>	<b>479,697</b>	<b>448,783</b>	<b>430,093</b>	<b>393,469</b>
<b>REVENUE FROM SIGNIFICANT ACTIVITIES</b>					
Teaching and research	357,472	351,925	322,996	358,386	323,834
Research programmes	127,460	118,686	111,714	68,684	58,939
Academic services	30,922	29,432	28,601	27,551	25,384
Institutional services	88,620	84,377	71,634	88,770	71,784
Total revenue from significant activities	604,474	584,420	534,945	543,391	479,941
less internal transactions	(98,777)	(90,165)	(74,524)	(98,777)	(74,524)
<b>TOTAL EXTERNAL REVENUE</b>	<b>505,697</b>	<b>494,255</b>	<b>460,421</b>	<b>444,614</b>	<b>405,417</b>
<b>OPERATING SURPLUS FROM SIGNIFICANT ACTIVITIES</b>	<b>15,304</b>	<b>14,558</b>	<b>11,638</b>	<b>14,521</b>	<b>11,948</b>

Internal transactions include occupancy charges, internal allocations of research funding, internal tuition fees and services provided within the University.

The 2002 comparative figures have been restated to conform with the 2003 reporting structure. While the underlying transactions have not been altered, the comparatives have been restated to enable comparisons to be made with the current year.



## To the readers of the The University of Auckland and Group's Financial Statements for the year ended 31 December 2003

The Auditor-General is the auditor of The University of Auckland and group (the University). The Auditor-General has appointed me, Ian Russell, using the staff and resources of Deloitte, to carry out the audit of the financial statements of the University and Group, on his behalf, for the year ended 31 December 2003.

### UNQUALIFIED OPINION

In our opinion:

The financial statements of the University and Group on pages 34 to 49 and 55 to 72:

- comply with generally accepted accounting practice in New Zealand; and
- fairly reflect:
  - the University and Group's financial position as at 31 December 2003;
  - the results of its operations and cash flows for the year ended on that date; and
  - its service performance achievements measured against the performance targets adopted for the year ended on that date.

The audit was completed on 15 March 2004, and is the date at which our opinion is expressed.

The basis of the opinion is explained below. In addition, we outline the responsibilities of the Council and the Auditor, and explain our independence.

### BASIS OF OPINION

We carried out the audit in accordance with the Auditor-General's Auditing Standards, which incorporate the New Zealand Auditing Standards.

We planned and performed our audit to obtain all the information and explanations we considered necessary in order to obtain reasonable assurance that the financial statements did not have material misstatements whether caused by fraud or error.

Material misstatements are differences or omissions of amounts and disclosures that would affect a reader's overall understanding of the financial statements. If we had found material misstatements that were not corrected, we would have referred to them in the opinion.

Our audit involved performing procedures to test the information presented in the financial statements. We assessed the results of those procedures in forming our opinion.

Audit procedures generally include:

- determining whether significant financial and management controls are working and can be relied on to produce complete and accurate data;
- verifying samples of transactions and account balances;
- performing analyses to identify anomalies in the reported data;
- reviewing significant estimates and judgements made by the Council;
- confirming year-end balances;
- determining whether accounting policies are appropriate and consistently applied; and
- determining whether all financial statement disclosures are adequate.

We did not examine every transaction, nor do we guarantee complete accuracy of the financial statements.



We evaluated the overall adequacy of the presentation of information in the financial statements. We obtained all the information and explanations we required to support the opinion above.

### RESPONSIBILITIES OF THE COUNCIL AND THE AUDITOR

The Council is responsible for preparing financial statements in accordance with generally accepted accounting practice in New Zealand. Those financial statements must fairly reflect the financial position of the University and Group as at 31 December 2003. They must also fairly reflect the results of its operations and cash flows and service performance achievements for the year ended on that date. This responsibility is specified in the Public Finance Act 1989.

We are responsible for expressing an independent opinion on the financial statements and reporting that opinion to you. This responsibility is specified in section 15 of the Public Audit Act 2001 and section 43(1) of the Public Finance Act 1989.

### INDEPENDENCE

When carrying out the audit we followed the independence requirements of the Auditor-General, which incorporate the independence requirements of the Institute of Chartered Accountants of New Zealand.

In addition to the audit we have carried out assignments in the areas of indirect taxation, project quality assurance, IT security and executive payroll services, which are compatible with those independence requirements. Other than the audit and these assignments, we have no relationship with or interests in The University of Auckland or any of its subsidiaries.

IAN RUSSELL

Deloitte

On behalf of the Auditor-General

Auckland, New Zealand





**THE UNIVERSITY OF AUCKLAND**  
**NEW ZEALAND**