

**School of Government**

**MAPP 524**  
**INSTITUTIONS AND THE POLICY PROCESS**  
(15 Points)

**Trimester Two / 2011**

**COURSE OUTLINE**

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**Names and Contact Details**

**Course Coordinator:** **Associate Professor Graham Hassall**  
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**School Office Hours:** 8.30am to 5.00pm, Monday to Friday

**Trimester Dates**

From Friday 8 July to Friday 11 November 2011

**Withdrawal from Course**

Notice of withdrawal must be in writing / emailed to the Masters Administrator. Ceasing to attend or verbally advising a member of staff will NOT be accepted as a notice of withdrawal.

1. Your fees will be refunded if you withdraw from this course on or before **Friday 22 July 2011**.
2. The standard last date for withdrawal from this course is **Tuesday 27 September 2011**. After this date, students forced to withdraw by circumstances beyond their control must

apply for permission on an ‘*Application for Associate Dean’s Permission to Withdraw Late*’ including supporting documentation. The application form is available from either of the Faculty’s Student Customer Service Desks.

## **Class Times and Room Numbers**

This course is taught conjointly with PUBL 402 Aspects of Public Policy: Theory.

<b>Module One:</b>	Friday 8 July 2011	8.30am – 6.00pm
<b>Module Two:</b>	Friday 2 September 2011	8.30am – 6.00pm
<b>Module Three:</b>	Friday 21 October 2011	8.30am – 6.00pm

**Attendance is required at all three modular teaching days**

Daily session times:

<b>Time</b>	<b>Session</b>
8.30am – 9.00am	Preliminaries
9.00am – 10.30am	1
10.30am – 11.00am	Break
11.00am – 12.30pm	2
12.30pm – 1.30pm	Lunch
1.30pm – 3.30pm	3
3.30pm – 4.00pm	Break
4.00pm – 6.00pm	4

**Locations:** Classes will be held on the Pipitea Campus of Victoria University in Wellington and you will be advised of your classroom one week prior to each module by email.

## **Course Content**

The course examines the political and institutional context of public policymaking in New Zealand, but with wider application. General topics covered include institutions and ideas, theories of the state, the nature of bureaucracy and executive power, professionalism, accountability and responsibility, ‘governance’, bureaucratic politics, and major systemic changes such as state sector reform and MMP. The course comprises three one-day “Modules”, and comprises 12 face to face sessions. Module 1 examines Institutions and Ideas that form the foundation to many contemporary systems of government, including New Zealand’s. Module 2 looks at these ideas in the specific context of New Zealand. The third and final module looks at drivers of change and key innovations in thought and practice. In pursuit of key attributes that inform teaching at VUW (leadership, communication, critical thinking, creative thinking), student presentations will be integrated into these sessions, with some homework required for modules 2 and 3.

## MODULE 1: INSTITUTIONS AND IDEAS

### 1. The State and its institutions

Session one sets out some fundamental ideas concerning the state and its institutions. It asks how modern states obtain their legitimacy on the foundations of constitutionalism, separation of powers, and the rule of law. Finally, it examines the notion of democracy, and how democracy links to the constitution and the institutions that it establishes.

- HABERMAS, J. (2006) *Three Normative Models of Democracy*. IN BELLAMY, R. (Ed.) *Constitutionalism and Democracy*. Aldershot, Ashgate Dartmouth.
- HEYWOOD, A. (2004) *Political Theory: An Introduction*, Houndsmills, Basingstoke, Palgrave macmillan. Chapter 3 “Politics, Government and the State”; & Chapter 5 “Power, Authority and Legitimacy”.

### 2. Westminster, bureaucracy, and accountability

This session reviews some of the key features of the Westminster system of government, notably the Legislative and executive. It looks at traditional values for the exercise of public power under Westminster; such as political neutrality of the bureaucracy, ministerial responsibility, a career service, and anonymity). It examines the essential elements of bureaucracy as a generic organizational form (Weber and rationalization), and the evolving character of New Zealand governmental bureaucracy and accountability.

- BLAU, P. M. & MEYER, M. W. (1987) *Bureaucracy in Modern Society*, New York, Random House.
- GREGORY, R. (2003) *Accountability in Modern Government*. IN PETERS, B. & PIERRE, J. (Eds.) *Handbook of Public Administration*. London, Sage.
- GRIFFITH, J. A. G. & RYLE, M. (1989) *Parliament. Functions, Practice and Procedures*, London, Sweet & Maxwell. (Chap. 1: “Parliamentary Government”).
- HEYWOOD, A. (2007) *Politics*, Houndsmills, Basingstoke, Palgrave macmillan. (Chap. 16 “Assemblies”).

An online resource useful for this topic is that of the Australasian Study of Parliament Group: [www.aspg.org.au](http://www.aspg.org.au) , which includes conference papers as well as the group's publication "Australasian Parliamentary Review Journal.

### 3. New Ideas of Governance

Session three sets out basic ideas that are explored in more detail in module three. These include the distinction between government and governance, and dimensions of traditional and emerging modes of governance such as network theory and practice, the marketization of public goods and services, contractualism and the ‘hollowing out of the state. It also examines the shift from vertical to horizontal governance and multi-level governance.

- PIERRE, J. & PETERS, B. G. (2000) *Governance, Politics and the State*, New York, St Martin's Press. (Introduction: what is governance?).

### 4. Research project

Session four sets out the research and evaluation requirements of the course. The details are set out in a separate document.

## MODULE 2: THE NEW ZEALAND CONTEXT

### 5. The Constitutional Context

This session examines New Zealand's constitutional arrangements and the formal/legislative, and informal/conventional elements of these arrangements. It looks at the doctrine of ministerial responsibility; political neutrality and public service 'bargains'; the constitutional significance of the Treaty of Waitangi and the application of Treaty principles to the policy process; New Zealand's electoral system and the implications of the change from FPP to MMP.

- JOSEPH, P. A. (2001) *Constitutional and Administrative Law in New Zealand*, Wellington, Brookers.
- JOSEPH, P. A. (2004) The Treaty of Waitangi: a text for the performance of nation. *Oxford University Commonwealth Law Journal* 4, 114-23.
- O'Malley, V., B. Stirling, et al. (2010). *The Treaty of Waitangi Companion: Māori and Pakeha from Tasman to Today*. Auckland, Auckland University Press.

### 6. State sector reform since 1988

The ideas and theories that informed the revolutionary re-shaping of the New Zealand state in the mid to late 1980s and early 1990s; assessments of these reforms, and contemporary issues in state sector reform; the State Services Commission; Public sector ethics.

- BOSTON, J. (2000) The challenge of Evaluating Systemic Change: The Case of Public Reform Management. *IPMN Conference 'Learning from Experiences with new Public Management'*, Macquarie Graduate School of Management.
- Gregory, R. (2000). "Getting better but feeling worse? Public sector reform in New Zealand." *International Public Management Journal* 3: 107-123.
- HENDERSON, A. (1990) *The Quest for Efficiency: The origins of the State Services Commission*, Wellington, State Services Commission.

### 7. Research Project Presentations

This session will include research project presentations.

### 8. The Policy Process in New Zealand

This examines the ways in which 'public policy' is determined in New Zealand. It looks at the roles of public servants, MPs, interest groups, and civil society, in determining the political agenda.

- KNOEPFUL, P., LARRUE, C., VARONE, F. & HILL, M. (2007) *Public Policy Analysis*, Bristol, The Policy Press.
- SHAW, R. & EICHBAUM, C. (2009) *Public Policy in New Zealand*, Rosedale, Pearson Prentice Hall (chapters 2, 10, 11).

## MODULE 3: FROM GOVERNMENT TO GOVERNANCE

### 9. Drivers of change (I)

This seeks out the key drivers of change to institutions and policy processes. These include new and evolving responses to technology such as e-Government, changing expectations about access to information driven by new technologies as well as growing distrust of government, as well as expanded expectations about communication, discourse and deliberation that have been made possible by new technologies, the rise of civil society and of non-government expertise.

- NORMAN, R. (2005) *Obedient Servants? Management Freedoms & Accountabilities in the New Zealand Public Sector*, Wellington, Victoria University Press.
- WEBB, K. (2005) Sustainable governance in the Twenty-First Century: Moving beyond Instrument Choice. IN ELIADIS, P., HILL, M. M. & HOWLETT, M. (Eds.) *Designing Government: From Instruments to Governance*. Montreal & Kingston, London, Ithica, McGill-Queen's University Press.
- SOUTER, D. (2010) *World Summit on the Information Society: Turning Targets into Action*, Paris, UNESCO.
- UNESCO (2005) *Towards Knowledge Societies*, Paris, UNESCO.
- Dunleavy, P. (2006). Digital era governance: IT corporations, the state, and E-government Oxford, Oxford University Press.

### 10. Drivers of change (II)

This session continues to explore 'drivers of change', focusing on patterns of leadership; the rise of policy networks, and issues of ethics and accountability.

- Boston, J., A. Bradstock, et al., Eds. (2010). Public Policy: Why ethics matters Public Policy: Why ethics matters Canberra, Australian National University ePress.
- CHRISTENSEN, T., LIE, A. & LAEGREID, P. (2007) Still Fragmented Government or Reassertion of the Centre? IN CHRISTENSEN, T. & LAEGREID, P. (Eds.) *Transcending New Public Management: The Transformation of Public Sector Reforms*. Aldershot, Ashgate.
- RONESS, P. G. (2007) Types of State Organizations: Arguments, Doctrines and Changes Beyond New Public Management. IN CHRISTENSEN, T. & LAEGREID, P. (Eds.) *Transcending New Public Management: The Transformation of Public Sector Reforms*. Aldershot, Ashgate.

### 11. Project Presentations

This session will include research project presentations.

### 12. Course review and project consultation

This session will review the content of the three modules, as well as consider the requirements for the final course project.

## Course Learning Objectives

By the completion of the course, participants will be able to:

- Explain theories of the state; and the relationship between the state, civil society, and the market.
- Identify the main elements of New Zealand's constitutional system.
- Explain the historical process of 'rationalization' (Max Weber) and how it informs the character of modern governmental systems.
- Critically assess the nature of bureaucratic rationality and action, bureaucratic and professional power, and bureaucratic politics.
- Examine the changing political context for public administration and management within New Zealand, including the impact of the move to MMP, and the emergence of the 'governance' paradigm.
- Distinguish between the concepts of accountability and responsibility in government, and how these ideas explain the behaviour of governmental officials, both elected and appointed.

## Course Delivery

This course is delivered in a modular format, which includes a minimum of 24 hours contact. The 24 hours are broken up into three separate days of eight hours each (a 'module'). There are three modules in the course with approximately seven weeks between each module. **Attendance is required at all three modular teaching days (8.30am – 6.00pm).**

## Expected Workload

The learning objectives set for each course are demanding and, to achieve them, candidates must make a significant commitment in time and effort to reading, studying, thinking, and completion of assessment items outside of contact time. Courses vary in design but all require preparation and learning before the first module and regular learning is necessary between modules (students who leave everything to the last moment rarely achieve at a high level).

Expressed in input terms, on average, the time commitment required usually translates to approximately 150 hours for a 15-point course.

## Readings

There will be no set text for this course. Instead, students will be given a set of course readings before the first module.

Additional course material may be handed out to the class during the course.

Students will also find the following books particularly relevant:

- J Boston et al (1996) *Public Management: The New Zealand Model*, Oxford University Press.
- J. Boston et al (1999) *Electoral and Constitutional Change in New Zealand: An MMP Source Book*, The Dunmore Press.
- T. Christensen and P. Laegreid (eds.) (2006) *Autonomy and Regulation: Coping with Agencies in the Modern State*, Edward Elgar.
- T. Christensen and P. Laegreid (eds.) (2007) *Transcending New Public Management: The Transformation of Public Sector Reforms*, Aldershot UK: Ashgate.
- M. Hill (1997) *The Policy Process in the Modern State*, Third Edition, Prentice Hall/Harvester Wheatsheaf.
- C. Hood and M. Lodge (2006) *The Politics of Public Service Bargains: Reward, Competency, Loyalty - and Blame*, Oxford: Oxford University Press.
- R. Hummel (1994) *The Bureaucratic Experience: A Critique of Life in the Modern Organization*, 4<sup>th</sup> edn., New York: St. Martin's Press.
- E. McLeay (1995) *The Cabinet and Political Power in New Zealand*, Oxford University Press.
- R. Miller (ed.), (2006) *New Zealand Government and Politics*, Fourth Edition, Oxford University Press.
- R Mulgan (2003) *Holding Power to Account: Accountability in Modern Democracies*, Palgrave Macmillan.
- NORMAN, R. (2005) *Obedient Servants? Management Freedoms and Accountabilities in the New Zealand Public Sector*, Wellington, Victoria University Press.
- G. Palmer and M. Palmer (2004) *Bridled Power: New Zealand's Constitution and Government*, Oxford University Press.
- PREBBLE, M. (2010) *With Respect. Parliamentarians, officials, and judges too*, Wellington, Institute of Policy Studies.
- R. Shaw and C. Eichbaum (2008) *Public Policy in New Zealand: Institutions, Processes and Outcomes*, 2<sup>nd</sup> edn., Pearson/Prentice Hall.

Online resources:

- Policy Quarterly is online at <http://ips.ac.nz/publications/publications/list/10>

## **Assessment Requirements**

The course has three assessment exercises:

1. **Research Project** (34%)
2. **Essay I** (relating to the first three course learning objectives), 2,500 words: (33%)
3. **Essay II** (relating to the second three course learning objectives), 2,500 words: (33%)

Research and Essay topics will be distributed at module one.

As half of the class (group A) will present their research projects during module 2 and half (group B) will present during module 3, the dates for hand in of assignments are as follows:

<u>Group A</u>	<u>Group B</u>
<ul style="list-style-type: none"> <li>• <b>Research Project:</b> Present on Friday 2 September 2011 (module 2)</li> <li>• <b>Essay I:</b> Submit by Friday 21 October 2011</li> <li>• <b>Essay II:</b> Submit by Friday 11 November 2011</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Research Project:</b> Present on Friday 21 October 2011 (module 3)</li> <li>• <b>Essay I:</b> Submit by Friday 2 September 2011</li> <li>• <b>Essay II:</b> Submit by Friday 11 November 2011</li> </ul>

### Information about the Research Project

The research project is worth 34% of your course grade (in addition to two essays which are worth 33% each).

The 34% mark for the research project is divided into two parts: 15% for group work and 19% for your individual work. The following chart shows will activities will attract an individual mark and which activities will be assessed as group work:

<b>Task with individual mark</b>	<b>Task with Group mark</b>
1. Quality of materials identified and acquired	
2. Quality of innovation in search, retrieval, analysis, and dissemination of results	
3. Quality of contribution to group process	
	4. Quality of group presentation

#### Individual Mark: The Research Report

Deliverable: 10 page report

Your individual mark will depend on the quality of your individual research report. As the table above shows, you are expected to report on the following:

**1. Describe the ICT related sites and processes that you identified through research and make an assessment of the quality of the materials available on these sites.**

For instance, since good policy-making requires identification of authoritative, timely, and comprehensive source material, you should report on the sites that your research has identified, and report on the quality of information provided. Conversely, you may find sites that are problematic and give the reasons for this.



**2. Report on and reflect on the innovations that you have made to your habits in innovation in search, retrieval, analysis, and dissemination of results.**

You could do this by explaining your “traditional” methods of searching, storing and using, and then describe new habits or routines that you have picked up through doing this assignment. Obviously, the greater your response to the challenge, the more impressive. You should also feel free to document difficulties and frustrations encountered in doing the assignment, and the extent to which these have or have not been met.

**3. Quality of contribution to group process.**

The group assignment is inspired by fact that real-world challenges and tasks invariably require cooperation and networking with others. What efforts have you made during this project to a) contribute leadership; b) foster collaboration; c) overcome obstacles; d) clarify group tasks; e) achieve group objectives? These are just some of ways in which you may document your contribution as leader, communicator, and critical and critical thinker.

Keep in mind that the individual report is your way of adding value to what is expressed in the group report. Each team member will have explored the technology paths in different directions and will then have had to make decisions on what to fold into the group report. Your individual report provides the opportunity to explain and evaluate these individual explorations.

Group Mark: The Research Presentation

Deliverables: presentation in class (duration of the presentation to be advised at module one)

Hard copy of group report – this could be a PowerPoint or a report in some other format. Word-length/page-length is up to the group.

**Please submit ALL assignments IN HARD COPY to:**

Post Experience Programmes,  
School of Government,  
Victoria University of Wellington,  
Level 8 Reception,  
Rutherford House,  
23 Lambton Quay,  
P.O. Box 600,  
Wellington 6140.

Assignments submitted by post are given two days grace to allow for delivery time, while assignments that are submitted in person should be placed in the secure box at School of Government reception (Level 8, Rutherford House, Pipitea Campus, office hours = 8.30am to 5.00pm, Monday to Friday) by the due date/time. The assignment box is cleared daily, and assignments will be date stamped.

### Quality Assurance Note

Your assessed work may also be used for quality assurance purposes, such as to assess the level of achievement of learning objectives as required for accreditation and audit purposes. The findings may be used to inform changes aimed at improving the quality of FCA programmes. All material used for such processes will be treated as confidential, and the outcome will not affect your grade for the course.

**Students should keep a copy of all submitted work.**

### Class Attendance

**Attendance is required at all three modular teaching days.**

If, before enrolment for a course, you are aware that you will not be able to attend a module, you must notify the Director of Master's Programmes when you enrol explaining why you will not be able to attend. The Director of Master's Programmes will consult with the relevant course coordinator. In such circumstances, you may be declined entry into a course.

If you become aware after a course starts that you will be unable to attend a module or a significant part of a module (i.e. more than two hours in any given day), you must advise the course coordinator before the module explaining why you will be unable to attend. The course coordinator may excuse you from attendance and may also require you to complete compensatory work relating to the course content covered during your absence.

### Penalties

The ability to plan for and meet deadlines is a core competency of both advanced study and public management. Failure to meet deadlines disrupts course planning and is unfair on students who do submit their work on time. It is expected therefore that you will complete and hand in assignments by the due date. Marks will be deducted at the rate of five per cent for every day by which the assignment is late and no assignments will be accepted after five working days beyond the date they are due. For example, if you get 65% for an assignment, but you handed it in on Monday when it was due the previous Friday, you will get a mark of 50%.

If ill-health, family bereavement or other personal circumstances beyond your control prevent you from meeting the deadline for submitting a piece of written work or from attending class to make a presentation, you can apply for and may be granted an extension to the due date. You should let your course coordinator know as soon as possible in advance of the deadline (if circumstances permit) if you are seeking an extension. Where an extension is sought, evidence, by way of a medical certificate or similar, may be required by the course coordinator.

### Mandatory Course Requirements

Submit or participate in all pieces of assessment required for this course.

## **Communication of Additional Information**

Additional information may be provided in class, by post, by email or via Blackboard.

**Blackboard** is Victoria University's online environment that supports teaching and learning by making course information, materials and other learning activities available via the internet through the myVictoria student web portal.

To access the Blackboard site for this course:

1. Open a web browser and go to [www.myvictoria.ac.nz](http://www.myvictoria.ac.nz) .
2. Log into myVictoria using your ITS Username (on your Confirmation of Study) and password (if you've never used the Victoria University computer facilities before, your initial password is your student ID number, on your Confirmation of Study, Fees Assessment or student ID card – you may be asked to change it when you log in for the first time).
3. Once you've logged into myVictoria, select Blackboard (from the options along the top of the page) to go to your Blackboard homepage.
4. The "My Courses" section displays the courses you have access to – select the appropriate link to access the course-specific Blackboard site. Please note that only courses that are actually using Blackboard and have been made available to students by their respective course coordinator will be displayed.

**NOTE:** Information emailed to you via Blackboard can only be sent to your @myvu.ac.nz email address (the free email address created for you when you enrol and accessed via the myVictoria student web portal). If you want to receive these emails at your preferred email address (e.g. your home or work email address), it is **essential** that you activate your @myvu.ac.nz email address before the start of the course and you modify the settings so all emails sent to it are automatically forwarded to your preferred email address. Please go to [www.victoria.ac.nz/its/student-services/FAQs.aspx#Email\\_Forward](http://www.victoria.ac.nz/its/student-services/FAQs.aspx#Email_Forward) for more information.

**You are recommended to ensure that your computer access to Victoria University's computer facilities, such as myVictoria, Blackboard and email, is working BEFORE your course starts.** If you have any problems, you should contact the ITS Helpdesk on (04) 463 5050 or [its-service@vu.ac.nz](mailto:its-service@vu.ac.nz) , or visit the Helpdesk on level 2 of the Railway West Wing, Pipitea Campus. See [www.victoria.ac.nz/its/student-services/](http://www.victoria.ac.nz/its/student-services/) for more information.

## **Academic Integrity, Plagiarism, and the Use of Turnitin**

Plagiarism is presenting someone else's work as if it were your own, whether you mean to or not.

'Someone else's work' means anything that is not your own idea. Even if it is presented in your own style, you must still acknowledge your sources fully and appropriately. This includes:

- material from books, journals or any other printed source
- the work of other students or staff
- information from the Internet

- software programs and other electronic material
- designs and ideas
- the organisation or structuring of any such material.

Acknowledgement is required for all material in any work submitted for assessment unless it is a 'fact' that is well-known in the context (such as "Wellington is the capital of New Zealand") or your own ideas in your own words. Everything else that derives from one of the sources above and ends up in your work – whether it is directly quoted, paraphrased, or put into a table or figure, needs to be acknowledged with a reference that is sufficient for your reader to locate the original source.

Plagiarism undermines academic integrity simply because it is a form of lying, stealing and mistreating others. Plagiarism involves stealing other people's intellectual property and lying about whose work it is. This is why plagiarism is prohibited at Victoria.

If you are found guilty of plagiarism, you may be penalised under the Statute on Student Conduct. You should be aware of your obligations under the Statute, which can be downloaded from the policy website ([www.victoria.ac.nz/home/about/policy/students.aspx](http://www.victoria.ac.nz/home/about/policy/students.aspx)). You could fail your course or even be suspended from the University.

Plagiarism is easy to detect. The University has systems in place to identify it.

Student work provided for assessment in this course may be checked for academic integrity by the electronic search engine [www.turnitin.com](http://www.turnitin.com). Turnitin is an on-line plagiarism prevention tool which compares submitted work with a very large database of existing material. At the discretion of the Head of School, handwritten work may be copy-typed by the School and subject to checking by Turnitin. Turnitin will retain a copy of submitted materials on behalf of the University for detection of future plagiarism, but access to the full text of submissions will not be made available to any other party.

There is guidance available to students on how to avoid plagiarism by way of sound study skills and the proper and consistent use of a recognised referencing system. This guidance may be found at the following website: [www.victoria.ac.nz/home/study/plagiarism.aspx](http://www.victoria.ac.nz/home/study/plagiarism.aspx).

If in doubt, seek the advice of your course coordinator.

**Plagiarism is simply not worth the risk.**

### **For the following important information, follow the links provided**

#### **Academic Integrity and Plagiarism**

[www.victoria.ac.nz/home/study/plagiarism.aspx](http://www.victoria.ac.nz/home/study/plagiarism.aspx)

#### **General University Policies and Statutes**

Find key dates, explanations of grades and other useful information at [www.victoria.ac.nz/home/study](http://www.victoria.ac.nz/home/study)

Find out about academic progress and restricted enrolment at [www.victoria.ac.nz/home/study/academic-progress.aspx](http://www.victoria.ac.nz/home/study/academic-progress.aspx)

The University's statutes and policies are available at [www.victoria.ac.nz/home/about/policy](http://www.victoria.ac.nz/home/about/policy), except qualification statutes, which are available via the Calendar webpage at [www.victoria.ac.nz/home/study/calendar.aspx](http://www.victoria.ac.nz/home/study/calendar.aspx) (See Section C).

Further information about the University's academic processes can be found on the website of the Assistant Vice-Chancellor (Academic) at

[www.victoria.ac.nz/home/about\\_victoria/avcacademic/default.aspx](http://www.victoria.ac.nz/home/about_victoria/avcacademic/default.aspx)

**AVC (Academic) Website: information including: Conduct, Academic Grievances, Students with Impairments, Student Support**

[www.victoria.ac.nz/home/about\\_victoria/avcacademic/Publications.aspx](http://www.victoria.ac.nz/home/about_victoria/avcacademic/Publications.aspx)

**Faculty of Commerce and Administration Offices**

[www.victoria.ac.nz/fca/studenthelp/](http://www.victoria.ac.nz/fca/studenthelp/)

**Te Pūtahi Atawhai**

**Maori and Pacific Mentoring Programme**

[www.victoria.ac.nz/st\\_services/tpa/index.aspx](http://www.victoria.ac.nz/st_services/tpa/index.aspx)