

Doctorates Statute

General requirements

1. A candidate for the Degree of Doctor of Philosophy (PhD) is required to undertake an original and coherent programme of research and to present the outcomes of that research for examination.
2. A candidate for a Higher Doctorate must submit a substantial and significant corpus of published original work that has, over an extensive period of time, given them authoritative standing and international eminence in their respective field.
3. A candidate for a Named Doctorate must undertake all the required elements of their programme as specified in the applicable programme regulations.
4. In order for a PhD or Named Doctorate degree to be awarded, the Pro Vice-Chancellor Global and Graduate Research (PVC GGR) must be satisfied that:
 - a. the requirements of this Statute, any applicable Regulations, and applicable Policy have been met, *and*
 - b. the candidate has performed at doctoral level in an oral examination, held in accordance with procedure, and with the norms of subject of the research and the field(s) to which the subject belongs, *and*
 - c. the programme of research:
 - i. makes an original and significant contribution to knowledge or understanding in its field(s), *and*
 - ii. meets internationally recognised standards for such work, *and*
 - iii. demonstrates knowledge of the scholarship relevant to the subject and the field(s) to which the subject belongs, and demonstrates the ability to exercise critical and analytical judgement of that scholarship, *and*
 - iv. is satisfactory in its methodology, in the quality and coherence of its expression, and in its scholarly presentation and format.

Duration

5. Requirements regarding minimum and maximum periods of enrolment before submission of the research project for examination are provided in the Doctorates Policy.

PhD requirements

Admission

6. To be admitted to the PhD programme, applicants must satisfy the University's admission regulations and the criteria established in the Doctorates Policy and Doctoral Admissions Procedure.

7. Nothing in this Statute:
 - a. gives any person any right to be admitted to any programme; or
 - b. require the University to admit, or offer to admit, any person.
8. The final decision on admission to the PhD programme will be made by the PVC GGR.
9. An offer of admission may be rescinded prior to enrolment in the programme where:
 - a. information becomes available that was not available at the time the admission decision was made, and which would have resulted in a different decision being made,
 - or
 - b. where, due to circumstances unforeseeable at the time of the decision, supervision and/or necessary resources will no longer be available for the enrolment.
10. Persons who are permitted by the PVC GGR to enrol in a joint or dual doctoral degree must satisfy all the requirements of this Statute in order to have the PhD degree awarded, unless an individual requirement is varied under the Doctorates Policy.

Enrolment and Candidature

11. Except for any approved period(s) of suspension, candidates are required to be enrolled continuously from the initial date of enrolment in the PhD programme until the date of submission of the research project for examination.
12. Candidature for the PhD degree commences upon enrolment in the PhD programme and continues, regardless of any period(s) of suspension, until the date on which any one of the following occurs:
 - a. notification from the PVC GGR that all requirements for the award of the degree have been met;
 - b. notification from the PVC GGR that the final decision is that the degree will not be awarded;
 - c. a candidate withdraws from the programme;
 - d. candidature is terminated by the PVC GGR for any reason in accordance with this Statute and the Doctorates Policy.
13. Candidates are subject to the [Research Integrity Policy](#) and all University statutes, regulations, rules, policies and procedures relating to student conduct and obligations (academic or otherwise) for the duration of candidature.

Examination

14. The research undertaken for the doctorate is subject to examination in accordance with the Doctorates Policy and its procedures as amended from time to time.

15. The final decision as to the award of the PhD degree will be made by the PVC GGR.

Withdrawal from programme

16. A candidate may withdraw from the PhD programme at any time by notifying the University in writing. Programme withdrawals cannot be retracted.

Termination of candidature

17. The PVC GGR may terminate the candidature of any enrolled or non-enrolled candidate on any one or more of the following grounds:
- a. failure to meet the requirements for confirmation of candidature established in policy
 - b. failure to meet the requirements for continuation of confirmed candidature established in procedure
 - c. failure to re-enrol (in accordance with the Doctorates Policy)
 - d. failure to comply with the general requirements of candidature as specified in clauses 1-4 of this Statute
 - e. failure to satisfy any specific conditions imposed on the candidature
 - f. failure to comply with candidature reporting requirements established in the relevant procedure
 - g. failure to complete or satisfactorily complete revisions to examined work by the date required by the Vice-Chancellor (or delegate)
 - h. failure to make payment of any tuition fees related to enrolment in the PhD by the due date

Note: For the avoidance of doubt, termination of candidature pursuant to this Statute is permanent unless successfully appealed

18. Before the PVC GGR makes a decision as to termination of candidature, the candidate will be given notice of termination proceedings and allowed fourteen calendar days to make a submission for the PVC GGR to take into account in making that decision.
19. Cancellation or prohibition of enrolment and/or candidature pursuant to any disciplinary statute of the University takes precedence over the provisions of this Statute.
20. Where a candidate withdraws from the PhD programme, or has their candidature terminated, or fails to meet the requirements for the award of the degree, admission to a new PhD or other doctoral programme in the same subject at a later date will not normally be permitted.
21. A person who withdraws from any relevant doctoral enrolment, has a relevant doctoral candidature terminated (or equivalent), or who fails to meet the requirements for the award of a relevant doctoral degree at a university other

than the University of Auckland will not normally be admitted to the PhD programme. Relevance and equivalence are determined by the PVC GGR.

Variations

22. In exceptional circumstances, the PVC GGR may approve a variation to the policies, procedures and regulations for PhD candidature, except where variation of a national or government directive or requirement is involved.

Appeals

23. Candidates and former candidates may appeal decisions pertaining to
- a. Suspension and extension of enrolment
 - b. Termination of candidature
 - c. The outcome of a doctoral examination

in accordance with the relevant provisions of the Doctorates Policy and the Doctoral Complaints and Appeals Procedure.

Other academic complaints and concerns

24. Subject to clause 23, other academic complaints and concerns will be resolved according to the Student Academic Complaints Statute.
25. Any matter that has been, could have been or could be appealed under the Doctorates Policy is precluded from consideration as a dispute.

Further Provisions

26. Candidates are subject to:
- a. the Degrees and Diplomas Statute and the Conferment of Academic Qualifications and Academic Dress Statute and
 - b. the provisions of the Enrolment and Programme Regulations pertaining to members of the Security Intelligence Service, rescindment and surrender of qualifications and the Deputy Vice-Chancellor Education's Special Powers and
 - c. the Examination Regulations, where coursework is prescribed.
27. PhD candidates are subject to any doctoral policies and procedures devised in support of this Statute, and amended from time -to-time.
28. This Statute may itself be reviewed and amended from time-to-time, and may be repealed and replaced with a new Statute.
29. This Statute came into force on XX.
30. The PVC GGR may vary the application of the provisions of this Statute, or any associated policies and procedures, to ensure that candidates initially enrolled under a previous statute will not experience an unjustified disadvantage in terms of their candidature, enrolment or the examination process or thesis

expectations due to a requirement of this Statute or its associated policies and procedures. The process for making a submission to the PVC GGR and any appeals process will be outlined in the Doctoral Complaints and Appeals Procedure.

Definitions

Candidate/s refers to candidate/s for the degree of Doctor of Philosophy, a Named Doctorate of the University, or a Higher Doctorate of the University.

Candidature refers to a person's status as a candidate for the degree of Doctor of Philosophy or a Named Doctorate.

Doctoral year refers to each block of 12 months from the initial date of programme enrolment.

Full-time and part-time enrolment are defined in the Doctorates Policy.