



STATUTE & GUIDELINES FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (PHD)

This document details the Statute for the Degree of Doctor of Philosophy, and includes guidelines explaining how this Statute is applied and what procedures are involved in PhD registration. These guidelines also explain how the Board of Graduate Studies interprets and applies the Statute for the degree of Doctor of Philosophy at The University of Auckland.

This document is intended for people who are registered as candidates for the PhD Degree, or who wish to register as candidates for the PhD, and for those involved with the administration, supervision and examination of the PhD at The University of Auckland.

All candidates who are registered for the degree of Doctor of Philosophy at The University of Auckland from 1 March 2003 and those who have chosen to transfer from the 1999 Statute are governed by the Statute detailed in these Guidelines.

This document can be accessed online through:
www.postgrad.auckland.ac.nz



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STATUTE FOR THE DEGREE OF DOCTOR OF PHILOSOPHY

Please note that all of the forms and most of the policy documents referred to below may be found on the University intranet at www.postgrad.auckland.ac.nz and are also available in hard copy from the Graduate Centre.

CLAUSE I PREAMBLE

- a Candidates for the degree of Doctor of Philosophy are required to pursue an approved programme of advanced study and research as enrolled students of the University. The demands of PhD research require a significant commitment by candidates in terms of time and resources, and candidates are normally expected to be working full time on their doctoral research.
- b It is expected that this programme will usually be completed within three to four years of full-time candidature. Part-time candidature may also be permitted.
- c Upon completion of an approved programme of research, the PhD will be awarded to a candidate who;
 - i submits a thesis which meets the requirements set out in Clause 1d,
and
 - ii satisfies the examiners in an oral examination and any other examination that may be required on the subject of the thesis and on relevant matters in the field or fields to which the subject belongs.
- d The PhD degree is awarded for a formal and systematic exposition of a coherent programme of advanced research work carried out over the period of registration for the Degree which in the opinion of the examiners and the Board of Graduate Studies satisfies all of the following criteria;
 - i to be an original contribution to knowledge or understanding in its field,
and
 - ii to meet internationally recognised standards for such work,
and
 - iii to demonstrate a knowledge of the literature relevant to the subject and the field or fields to which the subject belongs, and the ability to exercise critical and analytical judgement of it,
and

- iv to be satisfactory in its methodology, in the quality and coherence of its written expression, and in its scholarly presentation and format.
- e PhD theses may not exceed 100,000 words or 250 pages in total without the permission of the Board of Graduate Studies.
- f Where a thesis includes published research papers and/or case studies, published or unpublished, these must be fully integrated into the subject matter and text of the thesis and be listed in the bibliography.
- g All research for the thesis is to be conducted in accordance with the University of Auckland Guidelines for the Conduct of Research.

Guidelines for the Conduct of Research

CLAUSE 2 ELIGIBILITY

Candidates for the degree of Doctor of Philosophy are required to have;

- a
 - i completed the requirements for the award of a Master's degree with First Class or Second Class (division I) Honours at the University of Auckland,

Guideline 1

- ii completed the requirements for the award of a Bachelor's degree with First Class or Second Class (division I) Honours at the University of Auckland,

or

- iii completed all the taught course work requirements for a Masters degree of the University of Auckland at the equivalent of First Class or Second Class (division I) Honours level, and have made substantial progress towards completion of the Master's research thesis,

Guideline 2

or

- iv completed the requirements for the award of a qualification that the Board of Graduate Studies considers to be equivalent to a Master's degree with First Class or Second Class (division I) Honours or a Bachelor's degree with First Class or Second Class (division I) Honours from the University of Auckland,

Guideline 3

and

- b demonstrated an ability to pursue doctoral level research.

Guideline 4

- c In exceptional circumstances, the Board of Graduate Studies may consider for registration a person whose qualifications do not meet the requirements of Clause 2a, if it is satisfied that the person's experience in research and the results of that experience are so outstanding that the person is likely to have the ability to complete the degree successfully.

Guideline 5

CLAUSE 3 ADMISSION

Admission Essential

- a Every candidate for the degree of Doctor of Philosophy must have applied for admission and been admitted to the University of Auckland.

Guideline 6

CLAUSE 4 REGISTRATION

Registration Essential

- a Every candidate for the degree of Doctor of Philosophy must be registered by the Board of Graduate Studies in accordance with this Clause 4.

Provisional Registration

- b Registration is provisional for all candidates for the first twelve months following the Date of Registration as defined in Clause 4k of this Statute.

Guideline 7

Application for Registration

- c Application for registration must be made to the Head of the teaching Department, Division or School, Chair of the Board of Studies or the Director of the Research Centre or Institute ("the Head of Department") in the discipline in which the candidate is to be primarily registered.

Guideline 8

Part-time Registration

- d Candidates who are in full-time employment in a research supportive environment at the time of first registration, and who expect to continue in that employment situation, may apply to register as part-time students.

Guideline 9

- e An applicant with demanding family responsibilities which prevent attending the University and participating in research activities on a full-time basis may apply to be registered as a part-time student.

Non-resident Candidature

- f Where an intending candidate is not resident in Auckland, the Head of Department must provide Board of Graduate Studies with evidence that the candidate will be provided with research resources and supervisory support at the location in which the research is to be carried out.

Guideline 10

Off-Campus Registration Policy

Concurrent Registration

- g In exceptional cases a candidate may be permitted to enrol concurrently in a second degree in order to complete that degree, provided it is not the qualifying degree for entry into the PhD programme.

Guideline 11

Role of the Head of Department

- h The Head of Department will make a recommendation in writing to the Faculty Associate Dean (Postgraduate) as to
 - i whether the Candidate;
 - a meets the eligibility requirements,
and
 - b has a preliminary research proposal capable of meeting the requirements of Clause 1 d of this Statute,
and
 - c has an appropriate set of goals for the provisional year of registration, agreed to by both the candidate and main supervisor.
- Guideline 12

And, if the Head of Department is of that opinion, then:

- ii whether their Department (in conjunction with any other Department where the field of study is interdisciplinary, or other University in the case of jointly awarded degrees) accepts the responsibility for;
 - a making satisfactory supervision arrangements over the whole course of the PhD,
and

- b providing adequate research resources and facilities,

Guideline 13

Statement of Resources and Support for PhD Research

and

- iii whether the field of study is interdisciplinary, and if so, which other Departments will be involved. In these cases, the Heads of any other Departments involved are required to endorse the recommendation,

Guideline 14

and

- iv nominate suitably qualified supervisors and, where appropriate, advisers,

and

- v in the case of a candidate in a Department of Languages and Literatures, or a candidate for whom joint registration with another University in a non-English speaking country is proposed, a recommendation as to the language in which the thesis is to be submitted and examined.

Guideline 30

Management of Co-supervised/Jointly Awarded PhD Degrees.

Presentation in te reo Maori

- i Candidates wishing to present and defend a thesis in Maori must, before applying to the Head of Department to be registered, obtain the permission of the Pro Vice-Chancellor (Maori). When such permission is granted, the Pro Vice-Chancellor (Maori) will make a recommendation in writing to the Board of Graduate Studies as to;
 - i whether the candidate has adequate fluency and literacy in te reo Maori in the subject area of the thesis, and
 - ii the likelihood of being able to find appropriately qualified examiners for the thesis.

Role of the Board of Graduate Studies

- j On receipt of the recommendation of the Faculty Associate Dean (Postgraduate), the Board of Graduate Studies will decide whether or not to register the candidate and, if so, the conditions which will apply to the registration. The Board of Graduate Studies may call for any further information it considers relevant before making its decision.

Date of Registration

- k Registration takes effect on the date (the “Date of Registration”) approved by the Board of Graduate Studies. Where a candidate has already started supervised

research on the PhD topic the Date of Registration may be backdated by not more than six months. For a candidate transferring from a Masters degree under Clause 2 (a)iii, the Date of Registration may be backdated not earlier than the date on which the coursework component of the Master's degree was completed.

Guideline 15

Fees Statute

Supervision

- l The Board of Graduate Studies will appoint the supervisors for each candidate. The supervisors must be actively involved in research in the candidate's general field, and must either hold a doctoral degree or be appropriately qualified and experienced. Persons who are themselves candidates for the degree of PhD may not be appointed as supervisors, although they may be appointed as advisers.

Guideline 16

Guidelines on Thesis Supervision

- m For each candidate the Board of Graduate Studies will appoint a suitably qualified main supervisor who takes overall responsibility for the supervision of the candidate and for assistance in the provision of research resources. The main supervisor must be a staff member of the University of Auckland.

Guideline 16

Guidelines on Thesis Supervision

Co-Supervisors and Advisers

- n In addition, the Board of Graduate Studies will appoint for each candidate;
 - i at least one suitably qualified co-supervisor

and/or

 - ii an advisory committee or adviser/s.

Guideline 16

Guidelines on Thesis Supervision

Coursework

- o The Board of Graduate Studies may require the candidate to undertake coursework that is considered to be necessary for the successful completion of the programme of research. Such coursework must be completed as part of the provisional registration requirements, will not normally exceed 8 points in total and should either be at the postgraduate level or, in special cases, at Stage III level. Candidates must normally pass any such coursework at the grade of at least B+ or its equivalent.

CLAUSE 5 REVIEWS OF REGISTRATION

Provisional Goals

- a During provisional registration, a candidate must;
 - i achieve the goals prescribed by the Board of Graduate Studies at the commencement of the registration,
- and*
- ii complete a fully developed research proposal, including a provisional thesis title, a schedule of research, an outline of the thesis structure and a statement of the resources required to complete the research. The research proposal should be submitted for approval to the appropriate postgraduate committee of the Department and/or Faculty in which the candidate is registered. The committee may accept the proposal, or indicate changes needed to the candidate and supervisor(s) and request a resubmission, or it may decline to accept the proposal. It will inform the Head of Department of its decision.

Guideline 17

Provisional Review

- b At the end of the twelve months of provisional registration, the supervisor/s and the Head of Department are to submit a formal report to the Board of Graduate Studies on the progress of the candidate. The report should clearly state whether or not the progress of the candidate has been satisfactory, the goals laid down for the provisional year have been achieved and the candidate's research proposal has been approved according to Clause 5a (ii). The report should include a recommendation that the candidate's registration be;
 - i confirmed,
- or*
- ii terminated,
- or*
- iii continued on a provisional basis for not more than six months.

Guideline 17

- c Where the recommendation is to confirm the candidate's registration, the report to Board of Graduate Studies must include a copy of the candidate's full research proposal and provisional thesis title.

Annual Review of Registration

- d In each year of registration each candidate must pursue a programme of advanced study and research to the satisfaction of the Head of Department and the main supervisor. At the end of each year of registration following the provisional period, the main supervisor, the candidate and the Head of Department are to submit, through the Associate Dean (Postgraduate) of the Faculty, a joint report to the Board of Graduate Studies on the candidate's progress. As part of this report the main supervisor and the Head of Department are to make one of the following recommendations;
- i that the candidate's registration be continued,
- or*
- ii that the candidate's registration be continued subject to specified conditions,
- or*
- iii that the candidate's registration be terminated.

Guideline 18

Specified Conditions for Registration

- e Where a recommendation is made under Clauses 5b (iii) or 5d (ii), the Head of Department will also recommend to the Board of Graduate Studies the specific goals and/or conditions to be met by the candidate and the time in which these are to be completed. At the end of this period the Head of Department and Main Supervisor will advise the Board of Graduate Studies whether or not these requirements have been met. Registration will terminate if the specified conditions have not been fulfilled to the satisfaction of the Board of Graduate Studies.

Recommendation to Terminate

- f No decision to terminate registration may be made by Board of Graduate Studies unless the candidate has been notified in writing and given reasonable opportunity to respond.

CLAUSE 6 ENROLMENT AND FEES

Enrolment

- a Candidates for the PhD Degree must be enrolled and pay fees in each academic year for which they are registered. Candidates need not pay tuition fees for any period during which their registration is suspended under Clause 7f.

- b On enrolment in each academic year every candidate must pay the fee prescribed for that academic year.

Guideline 19

Refunds

- c A candidate who submits a thesis or terminates their registration will receive a refund of one-twelfth of the tuition fee paid for each complete month of the period between the date of submission of the thesis or termination of registration and the end of the academic year for which fees have been paid.

Fees Other than Tuition Fees

- d Unless otherwise exempted under the relevant regulations, all candidates must pay the prescribed Building Levy and Student Services fees and any other fees as may be prescribed from time to time. There is no refund of these fees.

Guideline 19

Fees Statute

Fees to be Paid before Thesis Accepted

- e No thesis will be accepted for examination unless outstanding fees have been paid for the academic year in which a candidate is registered.

Other Fees Payable

- f Candidates who enrol for courses other than those required as part of their programme for the PhD Degree must pay the fees prescribed for those courses on enrolment.

Guideline 20

Fees Statute

CLAUSE 7 CHANGES TO THE CONDITIONS OF REGISTRATION

- a The Head of Department may, after consultation with the candidate, make a written recommendation to the Board of Graduate Studies for changes in the conditions of registration for the candidate. The candidate may express his or her written views on the recommendation to the Board of Graduate Studies if he or she wishes. After considering a recommendation from the Head of Department, Board of Graduate Studies may, after considering any submissions made by the candidate, change the conditions of registration for any candidate.

Guideline 21

Absence from the University

- b Where a resident candidate intends to be absent from the University in pursuit of their research for more than two months, supervisors are to submit for approval by the Board of Graduate Studies, through the Head of Department and before the candidate's departure, suitable plans for the supervision of the candidate during their absence.

Guideline 22

Guidelines for Off-Campus Registration.

Changes in Supervision

- c When necessary, the Head of Department is to recommend changes to the supervision of the candidate for approval by the Board of Graduate Studies. This will normally be required when a supervisor is granted leave, resigns or retires.

Guideline 23

Change to Part-time Registration

- d Candidates who have been registered full-time for a period of two years may apply to be registered part-time.

Guideline 24

Extension of Time for Submission

- e When the Postgraduate Committee is satisfied that there is sufficient reason, it may extend a candidate's submission date. Before approving an extension of submission time the Board of Graduate Studies will require the candidate, the supervisor(s) and Head of Department to agree on the programme of supervision and schedule of research considered necessary for submission by the new date proposed.

Suspension of Registration

- f Where a candidate is unable to continue with their research programme because of circumstances beyond their control, the Board of Graduate Studies may suspend their registration for a specified period of time. The following conditions apply:
 - i The length of time for which a candidate's registration may be suspended will be in multiples of whole calendar months.
 - ii The Board of Graduate Studies must be satisfied that any period of suspension will not adversely affect the viability of the candidate's research.
 - iii Any period of suspension will be excluded from the calculation of the final submission date.

- iv While registration is suspended, a candidate is exempt from fees and enrolment, and is not entitled to any tuition or supervision, or to the use of any other research resources of the University.

Guideline 25

Termination of Registration

- g The Board of Graduate Studies may terminate the registration of any candidate who;
 - i fails to enrol for any academic year corresponding to a year of registration,
or
 - ii fails to make payment of any Tuition and Research fees related to the PhD registration,
or
 - iii applies to cease being registered,
or
 - iv has not made satisfactory progress while under provisional registration,
or
 - v has received an unsatisfactory annual report,
or
 - vi has not met any conditions specified under Clause 5e,
or
 - vii has not submitted or re-submitted the thesis in time,
or
 - viii has had the termination of their registration recommended by a decision of a Disputes Committee constituted pursuant to Clause 11 of this Statute,
or
 - ix is prohibited under the Disciplinary Statute of the University from enrolling.

Guideline 26

CLAUSE 8 SUBMISSION

Copies of Thesis

- a All candidates are initially required to submit three copies of the thesis to the Graduate Centre. The thesis should have a temporary binding and a statement to examiners as specified in the Guide to Theses and Dissertations.

Guideline 27

Guide to Theses and Dissertations

Time for Submission

- b Unless permitted to do otherwise by the Board of Graduate Studies under Clause 7e, a candidate must normally submit the thesis in not less than three and not more than four years from the Date of Registration if they are full time students, or not less than six and not more than eight years in the case of candidates who have been registered as part time students for the whole period of their registration. In the case of candidates who have been permitted to change between full and part time, the submission times will be calculated on a pro rata basis.

Notification of Submission

- c One month prior to the expected date of submission, candidates should notify the Graduate Centre in writing of their intention to submit. If the candidate has reason to believe that any person would be unsuitable to serve as an examiner of the thesis on the grounds of conflict of interest, he or she may also submit at this time the name of this person and a statement in writing as to the nature of the conflict of interest to the Graduate Centre.

Guideline 28

Declaration as to Originality

- d The thesis is to be accompanied by a statutory declaration, signed by the candidate, stating that it is the candidate's own work and that neither the thesis nor any part of it has been submitted or accepted for any other degree or diploma.
- e Where the thesis contains jointly authored research papers, case studies and/or any other work, published or unpublished, the declaration is to state the extent to which the jointly authored material is the candidate's own work. Evidence that all co-authors have approved the inclusion of the joint work must be supplied.

Guideline 29

Statement from Supervisors

- f When the thesis is submitted, the Graduate Centre will invite a statement from the supervisor/s regarding the context or outcome of the thesis research. This statement must be endorsed by the Head of Department and the candidate. The Graduate Centre will forward a copy of the statement to the chair of the Examination Committee for its consideration.

Language of Thesis

- g The thesis is to be presented in English unless otherwise approved by the Board of Graduate Studies at the time of first registration of the candidate.

Guideline 30

CLAUSE 9 EXAMINATION

General Provisions

- a The Head of Department and/or the Associate Dean (Postgraduate) of the Faculty may nominate another person to the Board of Graduate Studies to be authorised to act in his or her place in all of the provisions of this Clause 9. If either the Head of Department or the Associate Dean (Postgraduate) is a supervisor of the candidate, an alternate must be nominated and appointed.
- b Neither the supervisors nor the candidate may communicate with the examiners regarding the examination at any stage of the examination process, except as specified in this Clause 9.

Nomination of Examiners

- c On notification of submission or intent to submit under Clause 8c, the Head of Department will nominate at least two suitably qualified persons to the Board of Graduate Studies for selection as examiners. The nominees should each hold a doctoral degree, or have equivalent expertise and experience, and be expert in the field of study which is the subject of the thesis. At least one nominee should be from outside New Zealand. The examiners may not be staff members of the University or have been involved in either the thesis research or the preparation of the thesis.

Guideline 31

Appointment of Examiners

- d The Board of Graduate Studies will consider the nominations provided by the Head of Department and any submissions made by the candidate under the provisions of Clause 8c and will appoint two suitably qualified persons who are available to act as examiners. One examiner (the Oral Examiner) must be able to attend the oral examination and will normally be resident in New Zealand or Australia.

Guideline 32

Appointment of Examination Committee

- e The Board of Graduate Studies will also appoint an Examination Committee which will normally be composed of;
 - i the Head of Department,
 - ii an Associate Dean (Postgraduate), who will chair the Examination Committee,***and***

- iii one other person (the HoD Nominee) nominated by the Head of Department. This person will have thorough knowledge of the general field of the thesis, but not necessarily of the thesis topic, and will normally be a staff member of the University.

No member of the Examination Committee may be a supervisor or have been involved in either the thesis research or the preparation of the thesis. The Associate Dean will normally be from the same Faculty as the candidate, but if that person is in the same Department as the candidate then an Associate Dean from another Faculty should be substituted.

Examiners' Reports

- f As suppliers of evaluative material in terms of the Privacy Act 1993, all examiners will be informed that the information and reports they supply as such will be held in confidence to supervisors and to persons involved in the formal examination process. Candidates will not be informed of the names, or other identifying information, of their examiners except that of the Oral Examiner.

Guideline 33

- g Each examiner will be provided with a copy of the thesis and, acting independently, is required to provide the Graduate Centre, within two months of receipt of the thesis, with a written report in English on the quality of the thesis according to the criteria outlined in Clause 1 d. One copy of the thesis will be provided to the Examination Committee.
- h The examiners will include with their reports one of the following recommendations;
 - i to award the degree,
or
 - ii to award the degree after specified minor corrections have been made to the thesis,
or
 - iii to permit the candidate to revise the thesis and resubmit it for examination on one further occasion only,
or
 - iv not to award the degree.

Replacement of Examiners

- i If a report has not been received within two months, the Graduate Centre will send a reminder to the examiner and advise him or her that unless the report is received within two further months the appointment as examiner will lapse. If the report

has not been received within two months of the date of the reminder, the Board of Graduate Studies may appoint a replacement examiner.

Guideline 34

Consideration of Examiners' Reports

- j Upon receipt of both of the examiners' reports, the Graduate Centre will provide copies for consideration by the Examination Committee. The examiners' reports will also be made available to the supervisor/s on a confidential basis. Supervisor/s may comment on the reports in writing to the Examination Committee on a confidential basis. The Examination Committee may also request clarification of issues raised in examiners' reports from the examiners and, if necessary, from supervisors. If the recommendations of the examiners are in conflict and the Examination Committee considers that the conflict may be resolved, the chair may invite the two examiners to consult and to provide a written report or reports on the outcome of their consultations.

Guideline 33

Recommendation of the Examination Committee

- k The Examination Committee will then make a report to the Board of Graduate Studies which includes the nature and outcome of any communications with the examiners and/or supervisor/s made under Clause 9j and which recommends one of the following:
 - i to appoint one or more further independent Examiners to report on any areas of conflict,
or
 - ii to proceed to the Oral Examination,
or
 - iii to permit the candidate to revise the thesis and resubmit it for examination on one further occasion only,
or
 - iv not to award the degree.

Further Examiners

- l In the event that the examiners' reports are in serious conflict the Board of Graduate Studies may appoint further independent external examiners to report on any matters which it may specify. In this event the candidate will be kept informed, and Clauses 9 f-i will apply for the reports of the further examiners.

Oral Examination

- m In the event that the Board of Graduate Studies accepts a recommendation to proceed to an oral examination, the following procedures will apply.
 - i The Head of Department will arrange this examination.
 - ii The Board of Graduate Studies, on the recommendation of the Head of Department, will appoint a person to act as an independent chair of the oral examination. The chair must be a member of the academic staff of the University, but will not normally be a member of a Faculty in which the candidate is registered.
 - iii The examination must be attended by the candidate, the Oral Examiner, the chair and the HoD Nominee on the Examination Committee.
 - iv The Graduate Centre will forward copies of the examiners' reports to the supervisor/s.

The Main Supervisor may attend the oral examination, but will not act as an examiner and may only participate to the extent requested by the chair.
 - v During the oral examination the Oral Examiner and HoD Nominee will discuss with the candidate the subject of the thesis and relevant matters in the field or fields to which the subject belongs. The Oral Examiner will discuss with the candidate issues raised in the examiners' reports and ask questions of the candidate on behalf of the other examiner.

Guideline 35

Recommendation of the Oral Examination

- n On completion of the oral examination, the chair will provide a written report and recommendation, endorsed by the HoD Nominee and the Oral Examiner, to the Board of Graduate Studies. The report will include one of the following recommendations;
 - either*
 - i to award the degree,
 - or*
 - ii to award the degree after specified minor corrections have been made to the thesis to the satisfaction of the Oral Examiner or nominee, who may be the Main Supervisor, and by a specified date,
 - or*
 - iii to permit the candidate to revise the thesis and resubmit it for examination on one further occasion only,
 - or*

- iv not to award the degree.

In the case of recommendation iii, the report must also state clearly the nature of the revisions recommended.

Guideline 36

When Revision and Resubmission are Permitted

- o In the event that the Board of Graduate Studies requires the candidate to revise the thesis for resubmission, either prior to or following an oral examination, the following provisions apply:
 - i If an oral examination has already been held, a copy of the report of the oral examination will be sent to the Examination Committee.
 - ii The Examination Committee will agree on the date by which the thesis is to be resubmitted and the nature of the revisions recommended, and will convene a meeting with the candidate and supervisors to discuss these revisions. Both the revisions and the date are then to be reported in writing by the Chair of the Examination Committee to the Graduate Centre for approval by the Board of Graduate Studies and formal communication to the candidate. The date of resubmission may not be more than twelve months from the date of the oral examination or, in the case of a recommendation under 9k (iii), not more than twelve months from the date the examiners' reports were forwarded to the Examination Committee by the Graduate Centre.
 - iii The candidate is required to enrol and pay the prescribed tuition and research fees from the month in which the decision was made to the month by which the thesis is to be resubmitted. The registration of the candidate is to continue under the conditions applying at the first date of submission.
 - iv If the thesis is not resubmitted by the prescribed date, the registration of the candidate will normally be terminated.
 - v Upon resubmission, the revised thesis is to be examined as a whole by the same examiners in accordance with the provisions of this Clause, excepting that a further resubmission may not be recommended and that the Examination Committee may recommend that a second oral examination not be held. If one or both of the original examiners is unavailable to re-examine the thesis the Board of Graduate Studies will appoint alternative examiners.
 - vi Upon receipt of both of the examiners' reports, the Graduate Centre will provide copies of the new examiners' reports, the original examiners' reports and the oral examination (if held) to the Examination Committee and to the supervisor/s on a confidential basis. The procedure followed by the Examination Committee will be that in Clause 9j. Following consideration of

all examiner's reports the Examination Committee will make a report to the Board of Graduate Studies which includes the nature and outcome of any communications with the examiners and/or supervisor/s made under Clause 9j. In the case where an oral examination has not already been held the Examination Committee report must recommend that either an oral examination be held or the degree not be awarded. In the case where an oral examination has previously been held the Examination Committee report must recommend one of the following:

- a to proceed to a second oral examination,
or
- b to award the degree
or
- c to award the degree subject to minor corrections,
or
- d not to award the degree

Final Decision

- p After considering all of the reports of the examiners and the Examination Committee the Board of Graduate Studies will make the final decision as to the award of the degree.

Copies for Deposit

- q On successful completion of the examination three hardbound copies of the thesis, corrected as may be required, must be deposited with the Graduate Centre. The degree will not be conferred until the candidate has complied with this requirement.

CLAUSE 10 APPEALS

As to Registration

- a Candidates, Supervisors or Heads of Department may appeal against a decision of the Board of Graduate Studies made under Clauses 4,5, 7 or 8 of this statute, normally within three months of the making of the decision, on the grounds that:
 - i relevant information which was not available to the Board of Graduate Studies at the time of its making the decision has since become available,

and/or

ii the procedure adopted in arriving at the decision was unfair.

The appeal must state clearly all grounds relied on by the candidate and attach all relevant documentation.

b Any appeal made under Clause 10a will be considered by the Chair of the Board of Graduate Studies, or their nominee, who may seek further information relating to the grounds of the appeal and shall notify the candidate of such information before making any decision. The Chair shall give a written decision outlining the reason(s) for the decision. A decision;

i grounded on the lack of relevant information shall be final,

or

ii grounded on procedural unfairness may be further appealed, within six months after the decision is made, to the Vice-Chancellor (or nominee) whose decision shall be final.

As to Examination

c If a PhD candidate believes that he or she has been significantly disadvantaged by the examination process, or by any part of the examination process, then a written appeal may be made to the Board of Graduate Studies, setting out the grounds of the appeal. All relevant documentation relied upon must be submitted with the appeal.

d Any appeal as to examination process must be lodged within three months of the result of the examination being officially communicated to the candidate. The appeal document must state clearly all grounds relied on and include all relevant documents.

e In the case of appeals as to examination process:

i The Chair of the Board of Graduate Studies will undertake a preliminary investigation and determine if there are grounds for the appeal to be taken to a further stage.

ii If there are grounds for further consideration of an appeal, this will be undertaken by two members of the Board of Graduate Studies who have not been involved in the examination process, who will make a recommendation to the Vice-Chancellor.

iii The candidate will be provided with a copy of the recommendation to the Vice-Chancellor and will have the opportunity to respond to the recommendation.

iv The decision of the Vice-Chancellor will be final and may involve a re-examination of the work.

Guideline 37

CLAUSE 11 DISPUTE RESOLUTION PROCEDURES

- a Disputes are to be resolved according to the *Policy for Resolution of Research Problems: Postgraduate Research Students*.
(see <http://www.auckland.ac.nz/Docs/sa/postgraduate/download/dispute.pdf>).

CLAUSE 12 TRANSITIONAL ARRANGEMENTS

- a This Statute comes into force on 1 March 2003 and revokes the previous Statute for the Degree of Doctor of Philosophy.
- b For candidates initially registered under a previous statute the Board of Graduate Studies may agree to vary the application of the provisions of this Statute to ensure consistency with the provisions of the statute under which the candidate was enrolled where it is satisfied that the candidate would otherwise be at a disadvantage.
- c Arrangements for payments of fees for candidates who were registered before 1 March 2003 may continue until the commencement of the 2004 academic year.

Guideline 38



GUIDELINES

Please note that all of the forms and most of the policy documents referred to below may be found on the University intranet at www.auckland.ac.nz/postgraduate and are also available in hard copy from the Graduate Centre.

ELIGIBILITY

Guideline 1 The MBA and MMgt differ significantly in their structures and purposes to other Masters degrees and are not, in themselves, sufficient to meet the requirements for admission to the PhD.

Clause 2a(i)

Guideline 2 A candidate may apply to convert an unfinished Masters thesis into a PhD thesis, where such a conversion meets the criteria of Clause 1. Candidates will not be able to convert an unfinished Master's degree to a PhD on the basis of coursework only.

Candidates registered under this provision shall normally have achieved a minimum average of B+ for the coursework component of their Master's degree. The Head of Department must certify that the thesis work completed is at the required honours level standard, and that the thesis topic is capable of being extended to a PhD. Once they have been awarded the PhD, candidates admitted under this Clause will not be permitted to go back and complete the Master's degree that they have converted.

Clause 2a(iii)

Guideline 3 This Clause allows the Board of Graduate Studies to admit suitably qualified people who do not strictly meet the requirements of 2.a.i and 2.a.ii. It particularly applies to:

- Candidates whose Masters degree from the University of Auckland is equivalent to an Honours degree, but is subject to a different grading system, eg. the Master of Engineering.
- Candidates who have qualified for admission to the Degree of Bachelor of Medicine and Bachelor of Surgery.
- Candidates who have qualified for admission to the Degree of Bachelor of Human Biology, and a pass in Part I of the Degree of

Bachelor of Medicine and Bachelor of Surgery, and a pass with a minimum of B+ in a 2 point Master's paper, relevant to the candidate's intended field of PhD research (a candidate who has met these requirements and registers for the degree of PhD will be required, in the first year of full time research, to satisfactorily complete a further relevant Master's paper which has been approved by the Head of Department).

- Candidates who have an equivalent qualification from another New Zealand university or from an overseas university.
- Candidates registered for the degree of Doctor of Philosophy at another university who wish to complete at this University. These candidates are required to withdraw from registration at the other university and to provide the Board of Graduate Studies with a statutory declaration concerning the nature and extent of the research done and the supervision received at the other university.

Clauses 2a(iv)

Guideline 4 In order to meet this requirement intending candidates need to have successfully undertaken a substantial research project. As part of this requirement, candidates must have demonstrated a high level of proficiency in the English language.

Clause 2b

Guideline 5 For a candidate to be considered for admission under Clause 2c, the Department needs to make a case in writing to the Board of Graduate Studies providing evidence of the nature, quality and relevance of the research experience and any other supporting evidence, such as publication record.

Clause 2c

ADMISSION

Guideline 6 This process is separate from that of applying for registration. The Application for Admission form is available online at www.auckland.ac.nz and can also be obtained from the Graduate Centre. Candidates whose qualifying degree was conferred by another university need to apply to have their qualifications assessed by the University as part of this admission process. These procedures must be completed before a PhD registration can be approved.

Clause 3a

REGISTRATION

Guideline 7 The purpose of Provisional Registration is to enable the Board of Graduate Studies to confirm the ability of the candidate to complete a PhD satisfactorily and to provide guidance to the candidate regarding the rate of progress expected. Where there is doubt about a candidate's qualifying criteria, it is preferable to enrol that candidate in a Master's degree or an appropriate transitional course of study. Registration for a PhD may then be considered at a later date should the candidate's performance prove satisfactory.

Clause 4b

See also Clauses 5a and 5b

Guideline 8 Active participation in and support from an active research community is an essential part of the PhD process, and the Head of Department and the Main Supervisor have particular responsibility for ensuring that this is provided. The Board of Graduate Studies, in accordance with the NZVCC's guidelines on this matter, requires candidates to be formally associated with a teaching Department or School so as to encourage this active participation.

Clause 4c

See also Clause 4h

NZVCC Guidelines

Guideline 9 This clause would normally apply to employees, such as academics or scientists, who are required to carry out research as part of their duties. Candidates need to provide a letter from their employer stating the term and nature of the full-time employment and expressing support for the candidate's registration. The letter must also state the nature of the research support being provided by the employer, which should normally include assistance with supervision and access to appropriate research facilities.

Clause 4d

See also Clauses 1b, 4e, 4f and 7d

Off-Campus Registration Policy

Guideline 10 Conditions of non-resident candidature are outlined in the policy document Guidelines for Off-Campus Registration

Clause 4f

See also Clauses 4d, 4e, 7b

Off-Campus Registration Policy

- Guideline 11** A candidate must seek approval for concurrent registration from the Board of Graduate Studies at the time of registration or re-enrolment.
Clause 4g
- Guideline 12** The provisional goals, perhaps four or five in number, should be realistically and specifically framed to provide a clear indication at the end of the year of the candidate's ability to complete the PhD satisfactorily and to provide guidance to the candidate regarding the rate of progress normally expected. The goals should be measurable, and provide tangible evidence of satisfactory progress in candidates' research during the first year. Suitable goals could include achievements such as: the completion of a chapter or chapters, the completion of an initial literature review, the initial development and testing of models, the completion of preliminary field work and collection of field data, the presentation of a departmental seminar on the PhD research.
Clause 4h(i)c
See also Clause 4b
- Guideline 13** The minimum levels of resources and facilities the Department must provide are outlined in the policy document *Statement of Resources and Support for PhD Research*.
Clause 4h(ii)b
Statement of Resources and Support for PhD Research
- Guideline 14** To ensure that candidates undertaking interdisciplinary projects are not disadvantaged in terms of supervision and resources, one Department must be clearly designated as the primary Department in which the candidate is registered.
Clause 4h(iii)
- Guideline 15** Payment of fees is always required from the Date of Registration, which will be the first day of the calendar month. This should be taken into account when recommending a Registration Date. For those candidates who have applied for and have been awarded a doctoral scholarship, payments may commence only when the registration procedure has been completed, and will be payable from the Registration Date.
Clause 4k
Fees Statute

Guideline 16 The Main Supervisor must have a contractual obligation to provide adequate supervision and is normally a member of the academic staff of a Department or School in which the candidate is registered. Honorary staff members are not eligible to be the Main Supervisor.

Co-supervisors or advisers will normally be members of the academic staff of The University of Auckland or of another tertiary institution, or full time members of staff of an appropriate research organisation. Co-supervisors are expected to be active in assisting the Main Supervisor in the supervision of the candidate. Advisers, on the other hand, are expected to assist candidates and supervisors by providing support and advice when they are requested.

An advisory committee should normally consist of not more than six members, including the supervisors. Its role is to meet at least once a year with the candidate to review and provide guidance on the progress and content of the research. This meeting may take the form of the candidate presenting a seminar to the committee and receiving written feedback.

It is expected that all supervision will be conducted in accord with the policy document *Senate Guidelines on Thesis Supervision*.

Clause 4l, 4m, 4n

Guidelines on Thesis Supervision

REVIEWS OF REGISTRATION

Guideline 17 The research proposal may be submitted and approved at any time during the provisional year.

The candidate shall be given an opportunity to make written submissions to the Board of Graduate Studies on the provisional report. Candidates and staff are advised that an extension of Provisional Registration will be approved in exceptional circumstances only. Where candidates clearly fail to meet the requirements of Provisional Registration, it is expected that termination of their registrations will be recommended.

Clauses 5a, 5b

See also Clause 4b and 4h(i)c

Guideline 18 The candidate should be given an opportunity to make written submissions to the Board of Graduate Studies on the annual report. The report form will be provided by the Graduate Centre for confirmed candidates on the anniversary of their Registration Date. The Head

of Department then forwards the report to the Associate Dean (Postgraduate) who in turn forwards it to the Graduate Centre.

Reports must be completed in full, and should enable the Board of Graduate Studies to make a reliable assessment of the progress of the research. For candidates in their third or fourth year of registration a schedule of work still remaining should also be provided, with a timetable for its completion.

Clause 5d

See also Clauses 5e and 5f

ENROLMENT AND FEES

Guideline 19 In the first year of candidature, fees will be charged from the Date of Registration to the end of that academic year (the next 28th February). In each subsequent year, candidates are required to pay fees for the full academic year (from 1st March to 28th February) in accordance with the Clauses below. Upon submission of the thesis, a candidate will be refunded the appropriate proportion of the tuition fees paid for that year. These fees are payable for each year of enrolment at the beginning of that year.

Clauses 6b and 6d

Fees Statute

Guideline 20 Where candidates are required to undertake coursework as part of their PhD registration, the tuition fees for their thesis will be reduced by the amount of fees payable for the required papers. Heads of Department are advised that addition or alteration of required papers to a candidate's registration requires the approval of the Board of Graduate Studies and to accompany their recommendation with an appropriate justification. There is no examination fee. Candidates should be aware that fees may increase from time to time during the period of the candidate's course of study. GST is included in all fees.

Clause 6f

Fees Statute

CHANGES TO THE CONDITIONS OF REGISTRATION

Guideline 21 During the progress of the PhD it may become necessary to change various conditions of registration, such as the topic or supervisor/s. Generally, all changes require the consent of the Board of Graduate Studies, after receiving a recommendation from the Head of Department in consultation with the Main Supervisor. The normal procedure is

for the Head of Department to fill out the appropriate form or send a memo to Associate Dean (Postgraduate) of the Faculty. It will then be forwarded, via the Graduate Centre, to the Board of Graduate Studies for consideration.

Heads of Department are advised that recommendations should always be accompanied by detailed reasons in support of the change. Recommendations that contain inadequate information will be returned with a request for satisfactory information to be provided.

Appeals regarding any decision made by the Board of Graduate Studies should be carried out using the Appeals Procedures outlined in Clause 10.

Clause 7a

See also Clause 10

- Guideline 22** Absence from the University is acceptable provided that it is for a clearly specified period of time, that it is to pursue field work, laboratory work, or research, and that there are suitable supervision arrangements for the duration of the absence. More information can be found in the policy document *Guidelines for Off-Campus Registration*.

Clause 7b

See also Clause 4f

Guidelines for Off-Campus Registration

- Guideline 23** As far as practicable, changes in supervision due to leave or retirement should be anticipated by the advance appointment of a Co-supervisor able to take over the role of the Main Supervisor.

When supervisors retire, it is often desirable that they continue to be involved in the supervision of their PhD candidates. The Board of Graduate Studies will normally approve such involvement when candidates are likely to complete within a year or two and the retired supervisor is willing and able to assist candidates in their research. In each case, the candidate, the retired supervisor, the Main Supervisor and the Head of Department must consent to the new supervision arrangement.

Clause 7c

See also Clauses 4l, 4m, 4n

Guidelines on Thesis Supervision

- Guideline 24** A change to part-time candidature will be approved only when the candidate can show good reasons for not being able to work full-time on

their PhD. Changes from full-time to part-time or from part-time to full-time will only be permitted at the time of re-enrolment.

Clause 7d

See also Clauses 1b, 4f, 7d

Guideline 25 A suspension is a concession granted by the Board of Graduate Studies to avoid disadvantaging a candidate in terms of time when they are unable to continue their research for a specified period.

When recommending a suspension, the Head of Department needs to stipulate not only the reasons, but the time required, and should comment on the possible effects of interruption on the viability of the research.

Suspensions for incapacity arising from illnesses or accidents will normally be approved, as will those arising from events such as childbirth or bereavement. Appropriate evidence of incapacity, such as a medical certificate, needs to be provided with the recommendation. Requests to suspend because of other work or personal commitments may also be considered, but part-time enrolment may be more appropriate in such cases.

Suspensions will not normally be approved for less than 3 months or more than one year at a time. Where it is necessary, a further period of suspension may be granted. Because periods of suspension may be harmful to the quality of research and hinder satisfactory completion, after three years of suspension it is more appropriate to recommend termination. Where the incapacity has no clearly foreseeable conclusion, or is likely to persist for more than three years, it is more appropriate to recommend that the registration be terminated.

When appropriate an approved period of suspension may be shortened, but where it becomes apparent that a candidate has continued to engage in research during a period of suspension the suspension will be revoked and fees charged.

Clause 7f

Guideline 26 Candidates whose registration has been terminated will not normally be permitted to resume in the same subject at a later date.

Clause 7g

SUBMISSION

- Guideline 27** For details concerning the layout of theses candidates should consult their supervisor/s and the University Library's *Guide to the Presentation of Theses*, and are advised to consult *The Preparation and Style of Manuscripts* published by The Auckland University Press

The *Guide to Theses and Dissertations* is available free of charge from the Library and the Graduate Centre.

It is important that candidates consult with their supervisor/s about any specific departmental requirements for the preparation and style of theses.

Candidates will normally be allowed to submit additional material, such as CD-ROMS and audio cassettes, with their theses provided that such material is accompanied by a declaration, signed by the candidate and the Main Supervisor and endorsed by the Head of Department. This declaration is to detail the content of the additional material, explain how it is related to the thesis, and state that it does not contain any direct appeal to the examiners.

The attention of candidates and staff is drawn to the Examination Regulations printed in the Calendar concerning PhD theses and abstracts.

Reference to publications arising from the thesis research may only be made in the text and bibliography or by incorporating the papers in the thesis itself.

Clause 8a

Guide to Theses and Dissertations

Examination Regulations, Clauses 22 & 23

- Guideline 28** The advance notification of submission is intended to minimise the time taken for examination.

Any statement regarding conflict of interest will normally only be considered by the Board of Graduate Studies prior to the appointment of examiners.

Clause 8c

- Guideline 29** The approval of co-authors is required to satisfy Copyright laws. The recommended format and wording for this declaration is available from the Graduate Centre.

Clause 8d, 8e

Declaration

Guideline 30 A candidate who wishes to submit a thesis in a language other than English is required to request permission to do so when applying to register for the degree of Doctor of Philosophy. This request must be accompanied by the recommendation of the Head of Department or both Heads of Departments in case of joint supervised PhD. Candidates wishing to submit in te reo Maori should consult Clause 4i.

The Board of Graduate Studies will consider applications for theses to be submitted in a language other than English on a case by case basis, and give permission only where it is satisfied that:

- The field of study and topic of the thesis make this essential.
- Suitable examiners will be available for the examination of the thesis.

- All examiners' reports and recommendations will be submitted in English.

It is not a sufficient reason for permission that the candidate's first language is not English.

Clause 4h(v), 8g

See also Clause 4i

EXAMINATION

Guideline 31 Nominations of examiners are made to the Board of Graduate Studies by the Head of Department on the advice of the supervisor/s, sending the appropriate form via the Associate Dean (Postgraduate) of the Faculty. Formal requests to act as examiners are made by the Graduate Centre once the Board of Graduate Studies has approved the nominations. Candidates should not expect to be involved in the selection of examiners.

Clause 9c

See also Clauses 9a, 9b and 9d.

Guideline 32 It is not the intention of this provision to exclude the appointment of examiners who have had a minor consultative role on some aspect of the candidate's research.

It is expected that at least one of the external examiners will be resident outside New Zealand. As the University is expected to provide travel and expenses for the Oral Examiner, financial considerations make it desirable that this examiner should normally be resident in New Zealand, or on the eastern seaboard of Australia. Departments will be required to assist with the travel expenses of examiners from further afield, or when the costs exceed the amount budgeted for an examination.

Clause 9d

Guideline 33 At no stage should candidates be provided with copies of the examiners' reports.

Where any corrections or revisions are necessary, the Head of Department or Main Supervisor will be asked by the Board of Graduate Studies to provide the appropriate information extracted from the reports in a manner that preserves the confidentiality of the examiners.

Under New Zealand law, any person may request a statement of reasons for a decision made about them. This includes decisions of an academic nature. If a candidate requests a statement of reasons for the decision to award or not to award the degree, then the Head of Department will be asked to prepare a brief paper which outlines the points of agreement of the examiners. This paper must preserve the confidentiality of the examiners and should demonstrate that the decision of the University was based on the recommendations of the examiners as a whole, and not on the views of an individual examiner.

Clauses 9f and 9j

Guideline 34 All approaches to an examiner concerning submission of a report must be made through the Graduate Centre. If some unforeseen delay appears likely, the Graduate Centre should be informed. It is expected that all examiners will prepare and submit their reports independently of each other and that there will be no communication between examiners about the thesis during the reporting process.

Clause 9i

Guideline 35 The independent Chair will normally be nominated at the same time as the examiners.

Clause 9m(ii)

See also Clause 9c

Guideline 36 The candidate and the examiners shall be informed of the decision of the Board of Graduate Studies by the Graduate Centre. Confirmation that any minor corrections have been made as requested must be forwarded to the Graduate Centre with three hardbound copies of the thesis before the degree can be conferred.

Clause 9n

APPEALS

Guideline 37 Any appeal is to be made in writing through the Graduate Centre.

Clause 10

TRANSITIONAL ARRANGEMENTS

Guideline 38 To ensure that no candidate is unduly disadvantaged by the new Statute the Transitional Arrangements Clause will be applied generously.

Candidates who wish to have their registration amended under the conditions of Clause 12 should apply in writing to the Graduate Centre. This application should state clearly the grounds for the request, and needs to include the recommendation of the Head of Department concerned. This Transitional Arrangements Clause is in no way intended to remedy any disadvantage that may occur as a result of the University's normal fees setting procedures. Towards the end of each year, Council establishes a Fees Policy for the following year, and this Statute cannot cover any disadvantage caused by this. The purpose of this clause is to reduce any disadvantage arising from the new fee provisions of this Statute by allowing existing candidates some time in which to complete under their currently approved fees payment arrangements.

Clause 12c

See also Clause 6



APPENDIX A: THE TEMPORARY BINDING OPTION FOR THESES

The Board of Graduate Studies has approved the submission of theses in temporary binding as an option for PhD candidates for examination purposes.

The term “temporary binding” includes the hard, temporary binding available in the School of Engineering. However, this binding is not suitable for the final hardbound copies.

In considering the option of submitting their thesis in temporary binding rather than hardbound copies, candidates should note the following:

All theses in temporary binding must contain a warning (on the cover or inside page) that the copy is for examination purposes only and not for other use or reference.

The copies in temporary binding will not necessarily be returned by examiners. This should be taken into consideration when inserting original photographs, and/or other material, in the temporary version.

Three copies of the thesis are to be submitted for examination, whether using the temporary binding or hardbound option.

On completion of the examination, three hardbound copies of the thesis (corrected, if this has been required by the decision of the Board of Graduate Studies) must be deposited with the Graduate Centre before a conferment of degree form will be issued.

Candidates are advised that the examination process usually takes several months, and in some circumstances beyond the University’s control may take longer.

Candidates are also advised, when meeting a deadline for submission, to be mindful of the time required for binding the thesis, and to confirm arrangements in advance with the binder.

APPENDIX B: LIBRARY ACCESS FOR INTENDING CANDIDATES

While researching their proposals or awaiting approval of their registration, intending candidates frequently wish to access the University’s Library. Normally, this is not possible unless they are enrolled.

To assist those in these situations, a procedure has been established whereby intending candidates will be given some access to the Library. Candidates who wish to do this should collect the appropriate form from the Graduate Centre and take it to the Head of the Department in which they will be primarily registered for completion. Once they return the completed form to the Graduate Centre, arrangements will then

be made for them to have access to the Library's various services while researching their proposal or commencing research while awaiting approval of their registration. Candidates will find this process easier if firstly they ensure that they have applied for admission to PhD. Once this has been processed, they will then be able to obtain an ID card if they do not already have one.

APPENDIX C: WEB LINKS TO RELEVANT POSTGRADUATE POLICIES AND FORMS

Postgraduate Policies Relevant to PhD Candidates:

- Statute for the Degree of Doctor of Philosophy (PhD)
- Guide to Theses and Dissertations
- Guidelines for Negotiating Supervision
- Senate Guidelines on Thesis Supervision
- Policy for Resolution of Research Problems (Postgraduate Research Students)
- Guidelines to Off-Campus Registration
- Statement of Resources and Support for PhD Research
- Guaranteed Scholarships for PhD Candidates

All postgraduate policies can be accessed at www.postgrad.auckland.ac.nz

Postgraduate Forms Relevant to PhD Candidates:

- DOC2 Recommendation to Senate for Provisional Registration for a Doctoral Degree
- DOC3 Nomination to Senate for the Appointment of Examiners for a Doctoral Degree
- DOC6 Change of Conditions form
- DOC7 Declaration to Accompany a Doctoral Thesis on Submission
- DOC8 Application for Temporary Library Membership for Intending Doctoral Candidates
- Annual Report

All postgraduate forms can be accessed at www.postgrad.auckland.ac.nz

