



**THE UNIVERSITY
OF AUCKLAND**

**SCHOOL OF
GRADUATE STUDIES**

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2011

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Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)



Statute and 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. It came into effect on 1 January 2011 and was further amended at the Board of Graduate Studies and Senate in August 2011, October 2012 (effective January 2013) and April 2014.

This document is intended for people who are candidates for the PhD Degree, or who wish to be 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 enrolled for the degree of Doctor of Philosophy at the University of Auckland from 1 January 2011 and those who have chosen to transfer from the 1999, 2003 and 2008 Statutes are governed by the Statute detailed in this document.

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 website at www.postgrad.auckland.ac.nz and are also available in hard copy from the Graduate Centre.

Clause 1 Preamble

- a Candidates for the degree of Doctor of Philosophy are required to pursue an approved programme of advanced study and research under supervision 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.

Guidelines 1, 13 and 30

- c Upon completion of an approved programme of research:
 - (i) a candidate must submit a thesis that meets the requirements set out in Clause 1e
 - or*
 - (ii) upon the recommendation of the Academic Head and approval from the Board of Graduate Studies, a candidate may present a corpus of creative work for assessment with a written thesis, comprising an integrated whole, that meets the requirements set out in Clause 1e.

Guideline 2

- d In order for the PhD degree to be awarded, the candidate must satisfy the examiners in an oral examination and any other relevant 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.
- e The PhD degree is awarded for a formal and systematic exposition of a coherent programme of advanced research work. The work is carried out over the period of enrolment for the degree and, in the opinion of the examiners and the Board of Graduate Studies, satisfies all of the following criteria:
 - (i) is an original contribution to knowledge or understanding in its field
 - and*
 - (ii) meets internationally recognised standards for such work
 - and*
 - (iii) demonstrates 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) is satisfactory in its methodology, in the quality and coherence of its expression, and in its scholarly presentation and format.

Guideline 2a

- f PhD theses may not, without the prior permission of the Board of Graduate Studies, exceed 100,000 words in total, or 60,000 words in total when accompanied by a corpus of creative work.
- g If the core of the thesis comprises a series of published or unpublished research papers and/or case studies, the candidate must be the lead or sole author of each paper or case study, and must provide a contextual framework and concluding discussion. The range and focus of this material shall generally correspond with the introductory and concluding chapters of a thesis. The thesis must be presented in a consistent format, citation style and typeface.
- h If the core of the thesis does not comprise a series of published or unpublished research papers and/or case studies, a candidate may still include within their thesis published or unpublished research papers and/or case studies, provided that the candidate was the lead or sole author of each paper or case study. The thesis must be presented in a consistent format, citation style and typeface.
- i In the case of published or unpublished research papers and/or case studies that the candidate has contributed to but is not the sole or lead author of, the candidate may report in the thesis their contribution to the research with due reference to the original paper and/or case study. The thesis must be presented in a consistent format, citation style and typeface.

Guidelines 3, 4, 35 and 36

- j All material which is not the original work of the author of the thesis must:
 - (i) be fully and appropriately attributedor
 - (ii) if a substantial part of another work, be reproduced only with the written permission of the copyright owner of that other work.
- k All research for the thesis is to be conducted in accordance with the University of Auckland *Code of Conduct for Research*.

See University document: Code of Conduct for 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 masters degree with First Class or Second Class (Division I) Honours at the University of Auckland

Guideline 5

or

- (ii) completed the requirements for the award of a bachelors degree with First Class or Second Class (Division I) Honours at the University of Auckland

or

- (iii) completed all the taught coursework requirements (if any) 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 masters research thesis

Guideline 6

or

- (iv) completed the requirements for the award of a qualification that the Board of Graduate Studies considers to be equivalent to a masters degree with First Class or Second Class (Division I) Honours or a bachelors degree with First Class or Second Class (Division I) Honours from the University of Auckland

Guideline 7

and

- b demonstrated an ability to pursue doctoral-level research

Guideline 8

and

- c if presenting a corpus of creative work for assessment, have demonstrated advanced training or experience in a relevant creative practice, and, in their provisional year, have identified their intention to present a corpus of creative work for final assessment and have received the approval of the Board of Graduate Studies.
- d 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 9

Clause 3 Admission

Admission Essential

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

Guideline 10

Clause 4 Registration

Registration Essential

- a Every candidate for the degree of Doctor of Philosophy must be registered by the Board of Graduate Studies.

Provisional Registration

- b Registration is provisional for all candidates for the first 12 months of equivalent full-time study following the Date of Registration as defined in Clause 4j of this Statute.

Guidelines 11, 16 and 22

Application for Registration

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

Guideline 12

Part-time Registration

- d Candidates with compelling reasons may be permitted to register as part-time students if the Board of Graduate Studies expects that the candidate will be able to complete the PhD within the permitted time frame. A candidate must normally submit the thesis in no fewer than six and no more than eight years if they have been registered as a part-time student for the whole period of their registration.

Guidelines 1, 13 and 30

Non-resident Candidature

- e Where an intending candidate is not resident in Auckland, the Head of Department must provide the 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.

Guidelines 14 and 28

See University document: Guidelines for Off-Campus Registration of Doctoral Candidates

Concurrent Registration

- f 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 15

Role of the Head of Department

- g The Head of Department will make a recommendation to the Faculty Associate Dean (Postgraduate) as to:
- (i) whether the candidate:
 - (a) meets the eligibility requirements
 - and*
 - (b) has a preliminary thesis proposal capable of meeting the requirements of Clause 1e 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

Guidelines 12, 16 and 22

and

if the Head of Department is of that opinion, then they will recommend:

- (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 for the PhD
 - and*
 - (b) providing adequate research resources and facilities

Guideline 17

See University document: Guidelines on Resources and Support for Doctoral Research

and

if the Head of Department is of that opinion, then they will nominate:

- (iii) which other departments will be involved if the field of study is interdisciplinary. In these cases, the Heads of any other departments involved are required to endorse the recommendation

Guideline 18

and

- (iv) suitably qualified supervisors and, where appropriate, advisers

and

- (v) in the case of a candidate in a languages and literatures discipline, or a candidate for whom joint registration with another university in a non-English speaking country is proposed, the language in which the thesis is to be submitted and examined.

Guideline 37

See University document: Management of Jointly Awarded Doctoral Degrees

Role of the Associate Dean (Postgraduate)

- h On receipt of the recommendation of the Head of Department, the Faculty Associate Dean (Postgraduate) will make a recommendation to the Board of Graduate Studies as to the matters set out in Clause 4g.

Role of the Board of Graduate Studies

- i 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 that 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

- j 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, except for a candidate transferring from a masters degree under Clause 2a(iii), when the Date of Registration may be backdated not earlier than the date on which the coursework component (if any) of the masters degree was completed.

Guideline 19

See University document: Fees Statute

Supervision

- k 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.
- l 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.
- m 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.

Guidelines 20 and 29

See University documents: Senate Guidelines on Thesis Supervision; Guidelines on Accreditation of Supervisors

Coursework

- n (i) 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 60 points in total and should either be at the postgraduate level or, in special cases, at undergraduate level. Candidates must normally pass any such research-related coursework at the grade of at least B+ or its equivalent, or any such undergraduate generic skill course at the grade of at least B or its equivalent.

or

- (ii) The Board of Graduate Studies may require the candidate to include a structured coursework component into the candidate's provisional year goals that is considered to be necessary for the successful completion of the programme of research. The structured coursework component will consist of designated courses that are compulsory within the provisional year. Candidates will be required to pass with a minimum B+ average across all courses, with no course lower than a B. The courses taken in the structured coursework component will not normally exceed 60 points in total and shall be at the postgraduate level.

Guideline 21

Presentation in Te Reo Māori

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

Guideline 37

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 full thesis proposal, including a provisional title, a schedule of research, an outline of the thesis structure and a statement of the resources required to complete the research. The thesis proposal should be submitted for approval to the appropriate

postgraduate committee of the Department, Institute 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 the proposal. It will inform the Head of Department of its decision.

Guidelines 11, 16 and 22

Provisional Review

- b At the end of the provisional registration period, the candidate, 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) continued on a provisional basis for a period of three to six months
 - or*
 - (iii) discontinued and the candidate recommended for enrolment in another degree
 - or*
 - (iv) terminated.

Guidelines 11 and 22

- c Where the recommendation is to confirm the candidate's registration, the report to the Board of Graduate Studies must include a copy of the candidate's full thesis proposal and provisional 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. This report may also be discussed by the appropriate postgraduate committee of the Department, Institute and/or Faculty in which the candidate is registered. 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 23

Specified Conditions for Registration

- e Where a recommendation is made under Clauses 5b(ii) 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 the 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 7g.
- b On enrolment in each academic year every candidate must pay the fee prescribed for that academic year.

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.

Fees to be paid before Notification of Award of the Degree

- e Notification of the award of the degree will be withheld until all outstanding fees have been paid for the academic year in which a candidate is registered. Candidates will not be able to graduate until all outstanding fees have been paid.

Other Fees Payable

- f Candidates who enrol for courses other than those specified in their provisional year goals must pay the fees prescribed for those courses on enrolment.

Guidelines 24 and 25

See University document: 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, the Board of Graduate Studies may, after considering any submissions made by the candidate, change the conditions of registration for that candidate.

Guideline 26

- b Permission to present a corpus of creative work for assessment with the written thesis as an integrated whole requires the recommendation of the Head of Department and approval from the Board of Graduate Studies. It is not expected that candidates will be granted permission to include a corpus of creative work after the provisional year review.

Guideline 27

Absence from the University

- c 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.

Guidelines 14 and 28

See University documents: Guidelines for Off-Campus Registration of Doctoral Candidates; Procedures and Guidelines for Periods of Absence of Doctoral Candidates

Changes in Supervision

- d 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.

Whilst the Board of Graduate Studies will take into consideration the candidate's views on any recommended changes to supervision, it reserves the right to determine the appointment of supervisor/s according to the availability of suitably qualified staff.

Guideline 29

Change to Part-time or Full-time Registration

- e Candidates may apply to change their registration from part-time to full-time and vice versa.

Guidelines 1, 13 and 30

Extension of Time for Submission

- f When the Board of Graduate Studies 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

- g 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 31

Discontinuation of Registration

- h Enrolment and Programme Regulations regarding discontinuation apply to PhD candidates.

See University document: The University of Auckland Calendar

Termination of Registration

- i 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 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.

Before making a decision to terminate a candidate's registration pursuant to this Clause or otherwise, the Board of Graduate Studies will allow the candidate a reasonable opportunity to respond.

Guideline 32

Clause 8 Submission

Copies of Thesis

- a All candidates are initially required to submit one copy in temporary binding and one electronic copy in pdf format of the thesis to the Graduate Centre. Copies should include the following statement to examiners on the first page:

"This thesis is for examination purposes only and is confidential to the examination process."

Guideline 33

See University document: Guide to Theses and Dissertations

Time for Submission

- b Unless permitted to do otherwise by the Board of Graduate Studies, a candidate must normally submit the thesis in no fewer than three and no more than four years from the Date of Registration if they are full-time students, or no fewer than six and no 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-time and part-time registration, the submission times will be calculated on a pro rata basis.

Notification of Submission

- c Three months 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 or people and a statement in writing as to the nature of the conflict of interest to the Dean of Graduate Studies.

Guideline 34

Declaration as to Originality

- d The thesis is to be accompanied by a statutory declaration, signed by the candidate, stating:
 - (i) that the thesis is the candidate's own work
 - (ii) whether any part of the thesis (in form or substance) has been submitted or accepted for any other degree or diploma and, where that is the case, clearly setting out the extent to which that earlier work has been incorporated into the thesis
 - (iii) that written permission has been obtained for any third-party copyright material reproduced in the thesis that represents a "substantial part" of the other work
 - (iv) that the temporary-bound copy and electronic copy are identical.
- e Where the thesis contains jointly authored research papers, case studies and/or any other work, published or unpublished, a Co-Authorship Form must be signed by the candidate and all the joint authors, stating the extent to which the jointly authored material is the candidate's own work.

Where the thesis includes research reported in published or unpublished co-authored works (other than as in Clauses 1g and 1h), a Co-Authorship Form must be signed by the candidate and all the joint authors, stating the extent to which the jointly authored material is the candidate's own work.

Where the thesis includes co-produced creative work, a Co-Production Form must be signed by the candidate and all the joint producers, stating the elements of the jointly produced material which are the candidate's own work.

Guidelines 2, 2a, 35 and 36

Language of Thesis

- f 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 37

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, on the advice of the supervisor/s, 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.

Guidelines 38 and 39

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 must be able to participate in the oral examination in person.

Guidelines 38 and 39

See University documents: Guidelines for the Appointment of Examiners of Doctoral Theses and Masters Research Theses/Portfolios (of 90 points or more); Guidelines for Doctoral Oral Examinations

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
 - and*
 - (ii) an Associate Dean (Postgraduate), who will chair the Examination Committee
 - and*
 - (iii) one other person (“the Head of Department Nominee”) nominated by the Head of Department. This person will have 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 Each examiner will be provided with an electronic copy of the thesis in pdf format 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 1e. A copy of the thesis will be provided to the Examination Committee.

Guideline 41

g The examiners will include with their reports one of the following recommendations:

- (i) to award the degree, subject to satisfactory performance at the oral examination.

The thesis can be passed without any further amendment or correction. Sometimes examiners may wish to include a list of suggested amendments for the candidate to use when publishing the material.

or

- (ii) to award the degree after specified “minor corrections” have been made to the thesis and/or corpus of creative work, to the satisfaction of the Oral Examiner or nominee (who may be the main supervisor), by a specified date, and subject to satisfactory performance at the oral examination.

This recommendation can be made when the thesis has reached the required standard but for minor problems such as inconsistency in terminology, referencing problems, or typographical errors. These changes can normally be made within a 3 month period. When these corrections are made, the thesis will meet the standard and then will be ready for permanent binding and placement in the Library.

or

- (iii) to award the degree after revisions have been made to the thesis and/or corpus of creative work, to the satisfaction of the Examiner or nominee (who will be the Head of Department), by a specified date, and subject to satisfactory performance at the oral examination.

This recommendation is made when an examiner concludes that the revisions required are not minor, but are substantive including re-analysis of data, or rewriting of chapters, or corrections of significant lapses in logic or coherence. These changes can normally be made within a 3-6 month period.

or

- (iv) to permit the candidate to revise the thesis and/or corpus of creative work, and resubmit it for examination on one further occasion only.

This recommendation is made when an examiner concludes that the thesis is not yet of PhD standard. It will require either further research, rewriting of specific sections, reconceptualisation, and/or reorganisation in order to reach the required PhD standard. The candidate will be permitted to resubmit, normally within a 12 month period.

or

- (v) not to award the degree, but refer the thesis to the appropriate authority within the University for consideration of the award of another degree.

This recommendation is made when an examiner is of the opinion that the thesis has substantive flaws incompatible with the requirements of a PhD.

or

- (vi) not to award any degree.

h 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 the candidate, supervisors and to persons involved in the formal examination process. Candidates’

preparation for an oral examination or thesis revision should be assisted by knowing what the examiners have said about their thesis. Examiners' reports will normally be released initially to those involved in the examination process, other than the candidate. Part 1 of the report, the recommendation, will not be released to the candidate, but, if the Examination Committee recommends that the candidate proceed to oral, and the Board of Graduate Studies accepts that recommendation, then the Graduate Centre will release the examiners' evaluations (Part 2 of the report) to the candidate. At this stage, the candidate will not be informed of the names, or other identifying information, of their examiners. Part 2 of the report will also be released for the purpose of judging the Vice-Chancellor's Prize for Best Doctoral Thesis for those candidates who have been nominated.

The Board of Graduate Studies (through the Dean of Graduate Studies) reserves the right to remove from an examiner's report made available to the candidate any material that it considers should not be released.

Guidelines 40 and 42

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 of the examiner will be terminated. 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 42

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 40

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/or corpus of creative work, and resubmit it for examination on one further occasion only

or

(iv) to refer the thesis to the appropriate authority within the University for consideration of the award of another degree

or

(v) 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 9f to 9i 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 Board of Graduate Studies, on the recommendation of the Examination Committee, will appoint one of the examiners to be the Oral Examiner and will determine whether the Oral Examiner should attend the examination in person or by videoconference. Candidates are expected to be available to attend the oral examination in person

(ii) the Head of Department will arrange this examination

(iii) the Board of Graduate Studies 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

Guideline 43

(iv) the examination must be attended by the candidate, the Oral Examiner, the Chair and the Head of Department Nominee on the Examination Committee. The main supervisor or co-supervisor may attend with the agreement of the candidate, but will not act as an examiner and may only participate to the extent requested by the Chair

(v) subject to Clause 9h above, the Graduate Centre will forward copies of Part 2 of the examiners' reports to the candidate no fewer than five working days before the oral examination

(vi) during the oral examination, the Oral Examiner and Head of Department 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. The Head of Department Nominee will ensure that the other examiner's comments and questions are discussed.

Recommendation of the Oral Examination

- n On completion of the oral examination, the Chair will provide a written report and recommendation, endorsed by the Head of Department 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” (see Clause 9g(ii)) have been made to the thesis and/or corpus of creative work, to the satisfaction of the Oral Examiner or nominee (who may be the Main Supervisor), and by a specified date
- or*
- (iii) (a) to award the degree subject to revising part or parts of the thesis and/or corpus of creative work, to the satisfaction of the Oral Examiner or nominee (who will be the Head of Department), by a specified date. When the Head of Department acts as the Oral Examiner’s nominee, the nature of the revisions must be such that he or she can certify that compliance has been achieved. In such cases, the Head of Department may discuss the revisions with the Head of Department Nominee on the Examination Committee and/or the Main Supervisor. If the Head of Department is unable to assess whether the revisions have been made to the required standard, the revisions to the thesis and/or corpus of creative work must be assessed by the Oral Examiner
- or*
- (b) to award the degree subject to revising part or parts of the thesis and/or corpus of creative work, to the satisfaction of the Examiner or Examiners by a specified date
- or*
- (iv) to permit the candidate to revise the thesis and/or corpus of creative work, and resubmit it for examination on one further occasion only, but only if the candidate has not already been permitted to revise and resubmit under Clause 9k(iii)
- or*
- (v) to refer the thesis to the appropriate authority within the University for consideration of the award of another degree
- or*
- (vi) not to award the degree.

In the case of recommendations 9n(iii) and 9n(iv), the report must also state clearly the nature of the revisions recommended.

Guideline 44

When Minor Corrections are Required

- o In the event that the Board of Graduate Studies requires the candidate to undertake minor corrections, the following provisions apply:

- (i) the Head of Department Nominee of the oral examination, in consultation with the Oral Examiner or nominee (who may be the Main Supervisor), will prepare a written report detailing the minor corrections required
- (ii) the Head of Department Nominee will ensure that the candidate is provided with a copy of the required minor corrections, and the specified date for the corrections to be completed by
- (iii) if the required minor corrections are completed to the satisfaction of the Oral Examiner or nominee (who may be the Main Supervisor) by the specified date, that person will notify the Graduate Centre that the degree may be awarded
- (iv) in cases where the Oral Examiner or nominee (who may be the Main Supervisor) reports that the minor corrections were not completed to their satisfaction or by the specified date, the Examination Committee will consider the evidence and will make a report and recommendation to the Board of Graduate Studies.

When Revisions are Required

- p In the event that the Board of Graduate Studies requires the candidate to undertake revisions to the satisfaction of the Oral Examiner or nominee (who will be Head of Department), or to the satisfaction of the Examiner, the following provisions apply:
 - (i) the Head of Department Nominee of the oral examination, in consultation with the Oral Examiner or nominee (who will be Head of Department), or the Examiner, will prepare a written report detailing the revisions required
 - (ii) the Head of Department Nominee will ensure that the candidate is provided with a copy of the required revisions, and the specified date for the revisions to be completed by
 - (iii) if the required revisions are completed to the satisfaction of the Oral Examiner or nominee (who will be the Head of Department), or the Examiner, by the specified date, that person will notify the Graduate Centre that the degree may be awarded
 - (iv) in cases where the Oral Examiner or nominee (who will be Head of Department) or the Examiner reports that the revisions were not completed to their satisfaction or by the specified date, the Examination Committee will consider the evidence and will make a report and recommendation to the Board of Graduate Studies. This recommendation may include the need to undertake further revisions.

Guideline 45

When Revision and Resubmission are Permitted

- q In the event that the Examination Committee recommends to the Board of Graduate Studies that the candidate should be permitted to revise the thesis and/or corpus of creative work prior to an oral examination, the Examination Committee will recommend a timeframe for the resubmission. The date of resubmission may not be more than 12 months from the date the examiners' reports were forwarded to the Examination Committee by the Graduate Centre. If the Board of Graduate Studies accepts the recommendation, the following provisions apply:
 - (i) the Graduate Centre will inform the candidate of the decision, and will forward copies of Part 2 of the examiners' reports to the candidate

- (ii) within two weeks of the notification from the Graduate Centre, the Examination Committee will meet with the candidate and discuss the revisions required

Guideline 46

- (iii) the Chair of the Examination Committee will send a written report of the meeting with the candidate to the Graduate Centre
- (iv) 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 in 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
- (v) if the thesis is not resubmitted by the prescribed date, the registration of the candidate will normally be terminated
- (vi) 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. If one or both of the original examiners is unavailable to re-examine the thesis, the Board of Graduate Studies will appoint alternative examiner/s
- (vii) upon receipt of both of the examiners' reports, the Graduate Centre will provide copies of the new examiners' reports and the original examiners' reports 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 examiners' 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. If the Examination Committee recommends that an oral examination be held, and the Board of Graduate Studies accepts this recommendation, the Graduate Centre will release the examiners' evaluations of the revised thesis (Part 2 of the report) to the candidate no fewer than five working days before the oral examination. The procedure for the oral examination will be that in Clause 9m. If the Examination Committee recommends that an oral examination should not be held, its report will include one of the following recommendations:
 - (a) to refer the thesis to the appropriate authority within the University for consideration of the award of another degree

or

- (b) not to award the degree.

Guideline 40

- r In the event that the Board of Graduate Studies requires the candidate to revise the thesis and/or corpus of creative work after an oral examination, the Oral Examination Committee will recommend a timeframe for the resubmission. The date of resubmission may not be more than 12 months from the date of the oral examination. In such cases, the following provisions apply:
 - (i) the Graduate Centre will inform the candidate of the decision and send a copy of the oral examination report to the Examination Committee
 - (ii) within two weeks of the notification from the Graduate Centre, the Examination Committee will meet with the candidate and discuss the revisions required

Guideline 46

- (iii) the Chair of the Examination Committee will send a written report of the meeting with the candidate to the Graduate Centre
- (iv) 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 in 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
- (v) if the thesis is not resubmitted by the prescribed date, the registration of the candidate will normally be terminated
- (vi) 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. If one or both of the original examiners is unavailable to re-examine the thesis the Board of Graduate Studies will appoint alternative examiner/s
- (vii) 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 report 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 examiners' 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. The Examination Committee report must recommend one of the following:
 - (a) to proceed to a second oral examination (in which case Clause 9m applies)
 - or*
 - (b) to award the degree
 - or*
 - (c) to award the degree after specified "minor corrections" (see Clause 9g(ii)) have been made to the thesis and/or corpus of creative work to the satisfaction of the Examiner or nominee (who may be the Main Supervisor), by a specified date
 - or*
 - (d) to refer the thesis to the appropriate authority within the University for consideration of the award of another degree
 - or*
 - (e) not to award the degree.

If the Examination Committee recommends that a second oral examination be held, and the Board of Graduate Studies accepts this recommendation, the Graduate Centre will release the examiners' evaluations of the revised thesis (Part 2 of the report) to the candidate no fewer than five working days before the oral examination.

Final Decision

- s 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.

Guideline 44

Copies for Deposit

- t (i) On successful completion of the examination, candidates will be required to deposit two hardbound copies of the thesis and one digital copy, corrected or revised as may be required, with the Graduate Centre. The degree will not be conferred until the candidate has complied with this requirement.
- (ii) When two hardbound copies and a digital copy of the PhD thesis are deposited, these must be accompanied by a statutory declaration signed by the candidate stating that the hardbound copies and the digital copy are the same.

Guideline 44

- u (i) The digital thesis deposited shall be formatted as specified in the *Guidelines for Formatting a Digital Thesis* at the University of Auckland.
- (ii) A thesis which is deposited in digital form will be accessible through the University's digital repository, unless embargoed under Clause 24 of the Examination Regulations.

Guideline 44

Clause 10 Appeals

As to Registration

- a Candidates, supervisors or Heads of Department may appeal against any 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 appellant and all relevant documentation must be attached.
- 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 new 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.

Guidelines 26 and 47

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 documents 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 47

Clause 11 Dispute Resolution Procedures

Disputes are to be resolved according to the *Resolution of Student Academic Complaints and Disputes Statute*.

Clause 12 Transitional Arrangements

- a This Statute came into force on 1 January 2011 and revoked the previous Statute for the Degree of Doctor of Philosophy. It was further amended by the Board of Graduate Studies and Senate in August 2011, October 2012 (effective January 2013) and April 2014.
- 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.

Guideline 48

Guidelines

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

Eligibility

Guideline 1 *Clauses 1b, 4d, 7e*

Full-time candidates are normally expected to work on their thesis research for an average of 40 hours per week, or, in the case of part-time candidates, 20 hours per week. The nature of the research, e.g. fieldwork or laboratory experiments, may require periods of longer working hours. Candidates are expected to take 4 weeks holiday per year (plus statutory and University holidays). Holiday arrangements should be agreed with the supervisor well in advance. Candidates are not required to apply for a suspension when they are on annual leave.

Part-time candidature may be permitted if the candidate provides compelling reasons and the Board of Graduate Studies expects that the student will be able to complete their PhD within the permitted time frame. Compelling reasons might include:

- (a) employment
- (b) carer responsibilities for pre-school and/or school-aged children, an invalid or disabled whanau/family member; or
- (c) medical condition(s), impairment(s) or disabilities.

Applications for part-time registration will be assessed on a case-by-case basis.

Guideline 2 *Clauses 1c(ii), 8e*

The presentation of a corpus of creative work allows for a particular theme to be investigated through more than one creative arts or design output. The creative work and the written thesis are expected to be distinct yet interdependent, presenting an integrated and reflective approach to the research topic. If the corpus of creative work submitted for examination includes co-produced work, then the approval of co-producers is required to satisfy copyright laws. For each co-produced work referred to, a Co-Production Form should be completed and included in each copy of the thesis.

Guideline 2a *Clause 1(e)* *Co-Authorship Form; Co-Production Form*

The PhD must be the candidate's own work. Where the thesis incorporates any material that has been submitted or accepted for any other degree or diploma, this fact, and the extent and nature of any re-use, must be reported in the thesis or an appendix thereto. This includes cases where material from another degree or diploma has been re-worked for the PhD. If the material that has been re-used was the result of co-authorship or co-production, the appropriate forms must be completed. The examiners must be left in no doubt that there is sufficient new work in the thesis to meet the requirements of Clause 1(e).

Guideline 3 *Clauses 1g, 1h*

The contextual framework and concluding discussion may include sections reporting on literature reviews, methodological considerations, and may indicate the contribution the thesis makes to the area of study in which it is located.

Guideline 4 *Clauses 1g, 1h, 1i*

Candidates may choose to include published material in the original wording in which it was published or appeared, or they may wish to revise previously published material in order to update and refine information, argumentation and prose, and provide links with other sections and chapters of the thesis. It is the candidate's responsibility to ensure they have the appropriate permissions to include material that has already been published. In order to include published or unpublished material, the candidate must be the lead or sole author and have written all or the majority of the text. If a candidate is not the sole author, a Co-Authorship Form must be included indicating the extent of contribution by other authors.

Guideline 5 *Clause 2a(i)*

Where there is doubt about a candidate's qualifying criteria, it is preferable to enrol that candidate in a masters 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.

Guideline 6 *Clause 2a(iii)*

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 masters degree to a PhD on the basis of taught coursework only. Candidates must appreciate that the ability to convert an unfinished masters thesis into a PhD thesis is not automatic, but is dependent on meeting the following criteria.

Candidates registered under this provision shall normally have achieved a minimum average of B+ for the coursework component of their masters degree or postgraduate diploma under which they qualified for admission to their masters. 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 masters degree that they have converted.

Guideline 7 *Clause 2a(iv)*

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

- candidates who have an equivalent qualification from another New Zealand university or from an overseas university
- candidates who have qualified for admission to the Degree of Bachelor of Medicine and Bachelor of Surgery and have undertaken the equivalent of at least 30 points of research work
- 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. It is not expected that such candidates who have completed more than a year of full-time study at another institution would be accepted into the University's PhD programme - see the *Guidelines for the Transfer of Doctoral Candidates*.

Guideline 8 *Clause 2b*

In order to meet this requirement, intending candidates need to have successfully undertaken a substantial research project. Masters degrees comprised wholly or primarily of coursework will not usually satisfy the research requirement for PhD admission. Students are normally required to have undertaken the equivalent of at least 30 points of research work prior to undertaking doctoral research. As part of this requirement, candidates must have demonstrated a high level of proficiency in the English language.

Guideline 9 *Clause 2d*

For a candidate to be considered for admission under Clause 2d, 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.

Admission

Guideline 10 *Clause 3*

The PhD degree application process combines the former admission, registration and enrolment processes and is available electronically on the University website. Candidates will be asked to provide documentation electronically during the application process. Candidates whose qualifying degree was conferred by another university need to apply to have their qualifications assessed by the University as part of this application process.

Registration

Guideline 11 *Clauses 4b, 5a, 5b*

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.

Guideline 12 *Clauses 4c, 4g*

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 requires candidates to be formally associated with a teaching department or school so as to encourage this active participation. "Head of Department" means the academic head of a faculty, school, department or research institute.

Guideline 13 *Clauses 1b, 4d, 7e*
Guidelines for Off-Campus Registration of Doctoral Candidates

Candidates who are required to carry out research as part of their paid employment should provide a letter from their employer that states the term and nature of their employment and the employer's support for the candidate's registration. The letter should include details of any research support being provided by the employer, such as assistance with supervision and access to research facilities.

Guideline 14 *Clauses 4e, 7c*

Conditions of non-resident candidature are outlined in the University document *Guidelines for Off-Campus Registration of Doctoral Candidates*.

Guideline 15 *Clause 4f*

A candidate must seek approval for concurrent registration from the Board of Graduate Studies at the time of registration or re-enrolment.

Guideline 16 *Clauses 4b, 4g(i)(c), 5a*

The following provisional goals are required of all candidates:

- approval of the full thesis proposal by the appropriate departmental/faculty postgraduate committee
- a substantial piece of written work, such as a literature review, completed to the satisfaction of the main supervisor
- presentation by the student of the proposal and/or work in progress to an appropriate forum, e.g. seminar, research group, conference, to the satisfaction of the supervisors
- ethics approval/s and/or permissions obtained for the research (if required)
- attendance at one of the Doctoral Skills Programme Induction Days
- Diagnostic English Language Needs Assessment (DELNA) online screening. If a full assessment is advised, completion of full diagnostic test and participation in any language enrichment recommended by the DELNA Language Adviser
- successful completion of the Academic Integrity Module.

Other provisional goals may be added and 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. The goals should be measurable, and provide tangible evidence of satisfactory progress in the candidate's research during the first year. Suitable goals could include achievements such as the completion of a chapter or chapters, the initial development and testing of models, and the completion of preliminary field work and collection of field data.

Guideline 17 *Clause 4g(ii)(b)*

Guidelines on resources and facilities to be provided by the department are outlined in the University document *Guidelines on Resources and Support for Doctoral Research*.

Guideline 18 *Clause 4g(iii)*

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.

Guideline 19 *Clause 4j* *Fees Statute*

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.

Guideline 20 *Clauses 4k, 4l, 4m*

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.

Staff on fixed term agreements who have the likelihood of funding for the expected period of supervision may be appointed as main supervisors. In such circumstances, a co-supervisor should be appointed who is not on a fixed term agreement, in order to maximise stability of supervision. The student should be made aware of the situation prior to provisional registration. Staff on fixed term agreements appointed as main supervisors should be informed that appointment as a main supervisor does not imply or give any expectation of permanent employment.

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 University document *Senate Guidelines on Thesis Supervision*.

Reviews of Registration

Guideline 21 *Clause 4n*

If a candidate is required to undertake any coursework in their provisional year, the course/s and grade/s required will be specified in their provisional goals.

Guideline 22 *Clauses 4b, 4g(i)(c), 5a, 5b*

Advice regarding the need to complete the *Doctoral Provisional Year Review* form will be provided to provisionally registered candidates and their supervisors by the Graduate Centre prior to the anniversary of the candidates' Registration Date. Candidates should note that this form differs from the *Doctoral Annual Report* form used in subsequent annual reviews.

Candidates and staff are advised that extensions of provisional registration may be granted for periods of 3-6 months if additional time is necessary in order to complete the provisional goals. Such additional time will be approved following due consideration of the circumstances. Where a candidate clearly fails to meet the requirements of provisional registration, it is expected that termination of their registration will be recommended.

Guideline 23 *Clause 5d*

Advice regarding the need to complete the *Doctoral Annual Report* form will be provided by the Graduate Centre for confirmed candidates prior to 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 Board of Graduate Studies.

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.

Enrolment and Fees

Guideline 24 *Clause 6
Fees Statute*

Fees will be charged for each 12 months of enrolment. These fees are payable for each year of enrolment at the anniversary of enrolment. Upon submission of the thesis, a candidate will be refunded the appropriate proportion of the tuition fees paid for that year.

Guideline 25 *Clause 6f
Fees Statute*

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 courses. Heads of Department are advised that addition or alteration of required courses to a candidate's registration requires the approval of the Board of Graduate Studies and should 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.

Changes to the Conditions of Registration

Guideline 26 *Clauses 7a, 10*

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 the 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.

Guideline 27 *Clause 7b*

It is not expected that candidates will be permitted to introduce a creative practice component for examination after their provisional year.

Guideline 28 *Clauses 4e, 7c*

Absence from the University is normally 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. International students, including candidates with permanent residency status, must comply with the residency requirements of their visa and the fees policy under which they are enrolled. More information can be found in the University document *Procedures and Guidelines for Periods of Absence of Doctoral Candidates*.

Guideline 29 *Clauses 4k, 4l, 4m, 7d*

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 a supervisor resigns or retires it is often desirable that they continue to be involved in the supervision of their PhD candidate. The Board of Graduate Studies will normally approve such involvement when a candidate is likely to complete within a year or two and the resigning or retiring supervisor is willing and able to assist the candidate in their research. However, if s/he is the main supervisor, a new main supervisor must be appointed and the resigning or retiring supervisor may continue as a co-supervisor or adviser. In each case, the candidate and the resigning or retiring supervisor will be consulted about the new supervision arrangement and the new main supervisor and the Head of Department must consent to the arrangement.

Guideline 30 *Clauses 1b, 4d, 7e*

A change to part-time candidature will be approved only when the candidate can provide compelling reasons for not being able to work full-time on their PhD and the Board of Graduate Studies expects that the student will be able to complete their PhD within the permitted time frame.

Guideline 31 *Clause 7g*

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 fewer than 2 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 two 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 two 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.

Guideline 32 *Clause 7i*

Candidates whose registration has been terminated will not normally be permitted to enrol in a new PhD or other doctoral degree in the same subject at a later date.

Submission

Guideline 33 *Clause 8a*

For details concerning the layout of theses, candidates should consult their supervisor/s and the University document *Guide to Theses and Dissertations* which is available online and from 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, 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.

Candidates with a creative practice component should consult the *Guidelines for PhDs with Creative Practice Component* and complete a Co-Production Form where necessary.

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

Guideline 34 *Clause 8c*

The advance notification of submission is intended to allow time for the appointment of examiners in order to minimise the time taken for examination. Examiners should be informally approached by the main supervisor who should obtain examiners' agreement to complete their examination reports within 6-8 weeks.

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

Candidates who intend to submit a thesis that includes publications are encouraged to complete the Co-Authorship Form at the time the publication is prepared.

Guideline 35 *Clauses 1g, 1h, 1i, 8d, 8e*
DOC7 Declaration to Accompany a Doctoral Thesis on Submission

The approval of co-authors is required to satisfy copyright laws. Contributions by authors and researchers other than the candidate, and the nature of their contributions, must be clearly identified in the preliminaries of the thesis by inclusion of the Co-Authorship Form. The form is available online and from the Graduate Centre. It is recommended that candidates complete the Co-Authorship Form before notifying the Graduate Centre of their intention to submit. If, in exceptional circumstances, it is not possible to secure the signature of a joint author, an explanatory statement should be attached to the declaration before it is signed by all the other contributing authors.

Guideline 36 *Clauses 1g, 1h, 1i, 8d, 8e*

The approval of co-authors is required to satisfy copyright laws. Students who have published aspects of their thesis research, but who are not including that publication as part of their thesis under Clauses 1g or 1h, should report that research in their thesis with reference to the publication. Any publications arising from the thesis research will thereby be listed in the bibliography and should not be listed separately. A Co-Authorship Form should be completed and included in each copy of the thesis for each co-authored work referred to.

Guideline 37 *Clauses 4g(v), 4o, 8f*

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 a jointly supervised PhD. Candidates wishing to submit in te reo Māori should consult Clause 4o.

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.

Examination

Guideline 38 *Clauses 9c, 9d*

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 *and will not be advised of the identity of the nominees*.

Guideline 39 *Clauses 9c, 9d*

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 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, or that the oral examination should take place by videoconference. 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.

Guideline 40 *Clauses 9h, 9j, 9q(vi)*

The identity of the Oral Examiner will only become known to the candidate once the oral examination has been approved, but both examiners' reports will remain anonymous at this stage. Candidates are not allowed to communicate with the Oral Examiner prior to the oral examination. Candidates cannot request a change of Oral Examiner at any stage.

Candidates will be provided with the examiners' evaluations (Part 2 of the examiner's report) no fewer than five working days prior to the oral examination.

Examiners' reports must not be released to third parties except for Part 2 which may be released for the purpose of judging the Vice-Chancellor's Prize for Best Doctoral Thesis.

Under New Zealand law, any person may request a statement of reasons for a decision made about them by a public body. 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 explains the decision of the Board of Graduate Studies. This paper must preserve the confidentiality of the examiners (unless waived) and of any material expressly made confidential to the Committee by an examiner.

Guideline 41 *Clause 9f*

All examiners will be provided with an electronic copy of the thesis in pdf format and will be invited to contact the Graduate Centre if they require a paper copy to be sent to them.

In the case of theses which include publications or a corpus of creative work, examiners should not defer to the prior judgements of referees and journal editors.

Guideline 42 *Clauses 9h, 9i*

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. If the reports have not been received within two months, the Graduate Centre will notify the candidate of the delay and will keep the candidate informed on the status of the examination process. 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. Supervisors must not be in communication with examiners at any stage.

Guideline 43 *Clause 9m(ii)*

The independent Chair will be appointed by the Board of Graduate Studies.

Guideline 44 *Clauses 9n, 9s, 9t, 9u*

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 two hardbound copies of the thesis and a digital copy before the degree can be conferred.

Once the hardbound and digital copies of the thesis have been submitted, the candidate may ask the Graduate Centre for copies of Part 2 of their examination reports, with the examiners' names attached. The Graduate Centre will only accede to this request if all of the examiners have agreed to release their names to the candidate.

Guideline 45 *Clause 9p*

It is expected that the candidate will be provided with a written report detailing the minor corrections/revisions required within 5 working days of the oral examination.

Verification as to whether the minor corrections/revisions have been carried out satisfactorily should be provided within one month of the candidate providing the corrected/revised version.

Guideline 46 *Clause 9q(ii)*

Supervisors should, if at all possible, attend the meeting of the Examination Committee along with the candidate in order to discuss and clarify the nature of the revisions to be undertaken.

Supervisors must accept the guidance of the Examination Committee which is in turn responding to the reports of the examiners or the determination from the oral examination. The 12 months allowed for resubmission applies to both full-time and part-time students.

Appeals

Guideline 47 *Clause 10*

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

Transitional Arrangements

Guideline 48 *Clause 12*

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.

Appendices

Appendix A: The Temporary Binding of Theses

The Board of Graduate Studies requires that PhD theses be submitted in temporary binding for examination purposes.

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

One copy of the thesis in temporary binding, plus one electronic copy in pdf format, are to be submitted for examination.

On completion of the examination, two hardbound copies and one digital copy 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. These must be accompanied by a statutory declaration signed by the student stating that the hardbound copies and the digital copy are the same.

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 may 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 first they ensure that they have applied for admission to PhD. Once this has been processed, they will be able to obtain an ID card if they do not already have one.

Appendix C: Postgraduate Guidelines, Procedures and Forms

Other postgraduate guidelines and procedures relevant to PhD Candidates:

The University of Auckland Calendar

Code of Conduct for Research

Fees Statute

Guide to Theses and Dissertations

Guidelines on Accreditation of Supervisors

Guidelines for Doctoral Oral Examinations

Guidelines for Formatting a Digital Thesis

Guidelines for Including Publications in a Thesis

Guidelines for Off-Campus Registration of Doctoral Candidates

Guidelines for PhDs with Creative Practice Component

*Guidelines for the Appointment of Examiners of Doctoral Theses and Masters Research Theses/
Portfolios (of 90 points or more)*

Guidelines for the Transfer of Doctoral Candidates

Guidelines on Resources and Support for Doctoral Research

Intellectual Property: A Guide for Students

Intellectual Property Created by Staff and Students Policy

Management of Jointly Awarded Doctoral Degrees

Postgraduate Students: The Embargoing of Theses

Procedures and Guidelines for Periods of Absence of Doctoral Candidates

Resolution of Student Academic Complaints and Disputes Statute

Senate Guidelines on Thesis Supervision

Third Party Editing and Proofreading of Theses and Dissertations

All postgraduate guidelines and procedures can be accessed at www.postgrad.auckland.ac.nz

Postgraduate forms relevant to PhD Candidates:

DOC3 Nomination to Senate for the Appointment of Examiners for a Doctoral Degree

DOC6 Change to Doctoral Candidate's Registration

DOC7 Declaration to Accompany a Doctoral Thesis on Submission

DOC7d Declaration to Accompany a Doctoral Thesis on Final Submission

DOC8 Application for Temporary Library Membership for Intending Research Masters and Doctoral Candidates

Co-Authorship Form

Co-Production Form

Doctoral Annual Report

Doctoral Provisional Year Review

Initial Statement of Research Intent

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



**THE UNIVERSITY
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