

# AUCKLAND UNIVERSITY OF TECHNOLOGY

## POSTGRADUATE HANDBOOK 2020

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The information contained in this handbook is correct at the time of going to press. The Auckland University of Technology reserves the right to make alterations to the information and requirements detailed in the handbook without prior notice if necessary. Any alterations and amendments to the handbook will be reflected in the Web version available through the AUT homepage.

While this handbook is written to provide guidelines to all postgraduate students at AUT, it is particularly aimed at those students undertaking research for a thesis or dissertation. The content is mainly designed to provide guidance for postgraduate students and staff on the policies and procedures that operate at AUT.

The postgraduate programmes included in this handbook are doctoral degrees, master's degrees, postgraduate diplomas, postgraduate certificates and bachelor's degrees with honours.

The handbook should be used in conjunction with the AUT Academic Calendar, particularly the General Academic Statute, General Academic Regulations, Standard Qualification Regulations and individual programme regulations.

General enquiries about programmes or applications should be directed to the relevant faculty.

# CONTENTS

Academic Dates for 2020	7
Important Boards and Committees	8
Academic Board (ACBD)	8
University Postgraduate Board (UPB)	8
Faculty Boards	10
Boards of Studies	10
Examination Board	10
Auckland University of Technology Ethics Committee (AUTEC)	11
<b>SUPPORT &amp; RESOURCES</b>	<b>12</b>
Graduate Research School	12
Statement of Minimum Resources for Research Students	15
University Postgraduate Study Rooms	16
Library Services	17
Computing Resources	18
Funding for Research	19
Student Services	20
<b>PROGRAMME INFORMATION &amp; ENTRY CRITERIA</b>	<b>26</b>
Higher Doctorate Degrees	26
Characteristics	26
Eligibility	26
Application to a Higher Doctorate	27
Doctoral Degrees	28
Level and Characteristics	28
Graduate Profiles	28
Entry Criteria	30
Master's Degrees	31
Entry Criteria for Master's Degrees	33
Master of Philosophy Degree	33
Postgraduate Diploma and Certificate Qualifications	35
Bachelor's Degrees with Honours	36
Attendance Requirements	36
<b>APPLICATION REQUIREMENTS</b>	<b>37</b>
Domestic Applicants	37
International Applicants	37

English Language Requirements	37
International Applicants to the Doctor of Philosophy Programme	38
Application Processes	39
Transfers	40
Notification	42
Off-Campus Registration	43
<b>ADMISSION AND ENROLMENT</b>	<b>45</b>
Vulnerable Children’s Act (2014)	45
Admission to Doctoral Degrees	45
Admission to Master’s and Bachelor with Honours Degrees	47
Offer of Place	49
Enrolment	49
<b>RESEARCH SUPERVISION</b>	<b>52</b>
Principles of Supervision	52
Supervisory Eligibility	52
Supervisory Mentors	53
Researcher Development	54
Supervision Practice	54
Supervisor Location	54
External Supervisors	55
Supervisor/Mentor Absence and Sabbatical Leave	55
General Responsibilities of Supervisors	55
Supervision Agreements	58
<b>PROGRESSION THROUGH THE DEGREE</b>	<b>68</b>
Vulnerable Children’s Act (2014)	68
Research Timeframes	68
Confirmation of Candidature	69
Student Progress Reports	72
Variations to Candidature	74
Deferment of Enrolment	74
Mode of Study	75
Extension	75
Leave of Absence	76
Withdrawal	77
Change of Faculty	78

<b>RESEARCH ETHICS</b>	<b>87</b>
Ethics Approval for Research	87
Animal Ethics	88
<b>RESOLUTION OF PROBLEMS</b>	<b>90</b>
<b>SPECIFIC LEARNING DIFFICULTIES</b>	<b>92</b>
<b>EXAMINATION</b>	<b>95</b>
Research Outputs	96
Formatting and Presentation	99
Thesis/Dissertation/Exegesis Formats	100
Format One	101
Format Two	101
Format Three	103
Word Limits	105
Higher Doctorate Examinations	112
Review Process	112
Examination Process	112
Appeals	113
Doctoral Examinations	114
Appointment of Examiners	115
Submission for Examination	118
Examiner's Reports	120
Examiner Recommendations	121
Oral Examinations	121
Outcomes	123
Revise and Resubmit Process	126
Examination of Practice-Oriented Research	128
Master's and Bachelor with Honour's Examinations	132
Appointment of Examiners	133
Submission for Examination	136
Examiners' Reports	138
Outcome	143
Examination of Practice-Oriented Research	145
Release of Information	148
Revise and Resubmit Process	148
Award of Honours and Distinction	150

<b>POST-EXAMINATION DEPOSIT OF THESES, DISSERTATIONS &amp; EXEGESES</b>	<b>153</b>
Deposit of Thesis/Dissertation/Exegesis	153
Deposit of Doctoral Thesis/Exegesis	154
Master’s Theses/Exegeses	154
Master’s Research Projects/Practice Projects	154
Bachelor’s Degree with Honours	154
Theses/Dissertations/Exegeses with Practice-Oriented Components	155
Hard Bound and Additional Copies	155
<b>GRADUATION</b>	<b>157</b>
Council Approval	157
Application to Receive Qualifications	157
Qualifications	157
<b>CONTACT NUMBERS &amp; LOCATIONS</b>	<b>159</b>
Faculty Contacts	160
Other University Contacts	168
Appendix A: Qualification Listing	172
Appendix B: Postgraduate Forms	176
Appendix C: Cover/Title Page Specifications	178
Index	181

# ACADEMIC DATES FOR 2020

## January

27 Auckland Anniversary Day

## February

6 Waitangi Day Holiday

24 Semester 1 commences

## April

10 Easter Friday

13 Easter Monday

14 University Holiday (Easter)

15–24 Mid-Semester Break

27 Anzac Day

27 Semester 1 resumes

## June

1 Queen's Birthday

19 Semester 1 ends

22 June– 13 Jul Inter-Semester Break

## July

13 Semester 2 commences

## September

31 Aug–11 Sept Mid-Semester Break

14 Semester 2 resumes

## October

26 Labour Day

## November

6 Semester 2 ends

9 – 23 Inter-Semester break

23 Summer Semester commences

AUT reserves the right to amend dates as required. Please refer to the website for updated information.

# IMPORTANT BOARDS AND COMMITTEES

Official definitions, membership and responsibilities of the following committees and boards can be found in the AUT Academic Calendar.

## Academic Board (ACBD)

The Academic Board is responsible for the overall academic direction of the University, including the development, validation, conduct and quality of all the University's programmes. It is a committee of the University's Council.

## University Postgraduate Board (UPB)

The University Postgraduate Board is responsible to Academic Board for the oversight of all postgraduate programmes with respect to:

1. Developing strategic direction and monitoring;
2. Protecting the interest of students and supervisors;
3. Admission through to recommending the granting of bachelor's with honours, master's and doctoral qualifications, including supervision, research student progress, thesis and dissertation examination processes, submission of thesis/ dissertation processes and approving the award of honours;
4. Ensuring the highest academic standards are maintained;
5. Acting as the board of studies and examination board for the Master of Philosophy and doctoral programmes.

8

### Delegations of Authority

The University Postgraduate Board may delegate the responsibilities outlined in the clauses above to the appropriate body or member of the Board. In each case, outcomes will be reported to the University Postgraduate Board through the Graduate Research School (GRS) on a monthly basis.

The GRS shall bring all activities that require special consideration to the University Postgraduate Board's attention.

The GRS shall provide a summary report on activity to the University Postgraduate Board on a monthly basis.



## **Membership**

The University Postgraduate Board shall include as members, but need not be limited to:

### **Part A: Postgraduate Development Strategy**

Dean of Graduate Research School;  
Deputy Vice-Chancellor;  
Pro Vice-Chancellor (Research & Innovation);  
Associate Dean (Postgraduate) from each faculty or alternative;  
One other member from each faculty (experienced in Faculty decision making Committees);  
Doctoral student representative elected by doctoral students (x2);  
Manager, Graduate Research School (Secretary);

### **Members in Attendance:**

Head of Researcher Development;  
Academic Director;  
Student Services Representative;  
AUTSA Representative;  
University Librarian or nominee.

Other staff may be co-opted (as non-voting members) at the UPB discretion to address specific agenda items or be part of a specific working group.

### **Part B: Examination Board**

Dean of Graduate Research School;  
Associate Dean (Postgraduate) from each faculty;  
Manager, Graduate Research School (Secretary).

Other staff may be co-opted at the UPB discretion to address specific agenda items.

## **Governance**

The Dean of Graduate Research School or nominee shall chair all meetings of the University Postgraduate Board.

The Graduate Research School shall provide the administrative support for and convene meetings of the University Postgraduate Board.

## University Postgraduate Board 2020 Meeting Schedule

Meeting Date Normally the 3rd Tuesday of Month	Agenda Closure Date
18 February	3 February
17 March	2 March
21 April	6 April
19 May	6 May
16 June	2 June
21 July	6 July
18 August	3 August
18 September	31 August
20 October	5 October
17 November	2 November

10

## Faculty Boards

Each faculty has an academic committee – the Faculty Board. These Boards have responsibility for monitoring and implementing all academic policy and curricula within a faculty. Each faculty board has created a faculty postgraduate committee to carry out responsibilities as delegated by the University Postgraduate Board as outlined on the previous page.

## Boards of Studies

Each programme has a board of studies<sup>1</sup> which is responsible to a faculty board for the continuous development and relevance of curricula and ongoing programme monitoring, so that quality standards for teaching, learning and student performance are maintained and requirements for resources are identified. The board of studies establishes and advises on criteria and procedures for the selection and admission of students.

## Examination Board

Each programme has an examination board<sup>1</sup> which monitors individual student achievement and recommends the granting of qualifications.

<sup>1</sup> The University Postgraduate Board acts as the Board of Studies and Examination Board for the Master of Philosophy and doctoral programmes.

## Auckland University of Technology Ethics Committee (AUTEC)

AUTEC is an institutional ethics committee approved by the Health Research Council Ethics Committee (HRCEC) of New Zealand. Approval by HRCEC provides recognition that AUTEC is functioning according to internationally set standards. AUTEC reports annually to the Council of AUT University and the HRCEC.

**It is the policy of the University that all staff or student research involving human subjects (with the exception of special cases) must receive approval from AUTEC prior to commencement.**

The membership of AUTEC is structured to ensure that it has appropriate medical, scientific and other research expertise to ensure that the committee has the experience, skills, knowledge and perspectives to conduct the review of research to ensure that protocols meet or exceed established ethical standards. In addition, at least one member is a lawyer, at least two members are Māori and a balance of cultural diversity and gender is also maintained. In order to ensure sufficient protection to participants who take part in research conducted by AUT staff and students, AUTEC includes individuals with experience and expertise in:

- A recognised awareness of te reo Māori and the understanding of tikanga Māori,
- Ethical and moral reasoning,
- Law,
- The perspectives of wider community (e.g. the perspectives of consumers of health and disability services, ethnic community),
- The design and conduct of intervention studies,
- The design and conduct of observational studies,
- The provision of health and disability services,
- Reviewing either qualitative or quantitative research,
- The perspectives of student community.

Comprehensive information about the Auckland University of Technology Ethics Committee (AUTEC) including the current membership of and terms of reference for AUTEC as well as the ethics approval process (including current meeting schedules) is to be found online at:

[www.aut.ac.nz/researchethics](http://www.aut.ac.nz/researchethics)

# SUPPORT AND RESOURCES

## Graduate Research School

The Graduate Research School (GRS) has overall responsibility for maintaining the formal University record of each student's path through the Master of Philosophy and Doctoral research qualifications. The GRS provides administrative support for the University Postgraduate Board, as well as liaising with faculty postgraduate offices. It is responsible for the enrolment of Doctoral and Master of Philosophy students and administration of the thesis/dissertation examination process.

The GRS keeps students and staff informed of researcher development opportunities through seminars, forums, events and other activities, both social and academic via the Postgraduate and Doctoral networks. The GRS also coordinates a central seminar series for all postgraduate students.

### Researcher Development

Researcher Development at AUT aims to enhance the capabilities of all researchers through skills development, resources and support. The Researcher Development team is responsible for liaising with faculty research and postgraduate offices and other groups to ensure that the research environment at AUT supports the growth of capable, confident researchers.

### Thesislink

Thesislink is a postgraduate research blog that provides information, tips and tricks, stories, commentaries and suggestions about research from other postgraduate research students and academics. Thesislink is a hub for dialogue between research students, staff and supervisors. Share your ideas, discover what's new in the research world, and find out about upcoming events. You can receive posts via email by registering at <https://thesislink.aut.ac.nz>, or follow the blog on Facebook or Twitter. Visit the blog <https://thesislink.aut.ac.nz>.

### Research Students' Peer Groups

AUT has a network of groups where research students can meet, socialise, and talk about their work with like-minded peers. Each of the groups is student-run, and there are groups available on every campus. Check the latest issue of the GRS e-Newsletter for a current list of groups, or contact Dr Anaise Irvine ([anaise.irvine@aut.ac.nz](mailto:anaise.irvine@aut.ac.nz)) to find out more.

### Postgraduate Research Writing Retreats

The GRS facilitates Writers' Retreats for postgraduate research students to provide supported writing time away from AUT. There will be significant time available for independent writing. Postgraduate research students will need to apply to attend the retreat and will receive an email from the GRS inviting them to apply. Preference will be given to research students who have not previously attended the writing retreat and

the selection will be based on the justification for attendance.

The GRS will cover all retreat costs, including accommodation and food.

### **Postgraduate E-Newsletter**

Information on postgraduate workshops, events, scholarships and university-wide current affairs is emailed to the network on a monthly basis. All currently enrolled postgraduate students are automatically subscribed to the network. Students who do not wish to receive communications through the network can unsubscribe at any time by following the unsubscribe links within their email.

### **Induction Programme for Doctoral Students**

The GRS facilitates an induction programme for new doctoral students a minimum of four times per year. This provides:

- An introduction to being a research student at AUT;
- An introduction to the resources and support available;
- The opportunity to meet and talk with other research students;
- An introduction to provide further engagement with students through workshops, etc.

Once students have been offered a place in a doctoral programme, the GRS will arrange a start date and inform students of the next induction. Attendance is highly recommended.

### **Events for Postgraduate Students**

Throughout the year, the GRS organises a number of university-wide activities and networking opportunities for postgraduate students. Some of these are open to all postgraduate students; others are limited to doctoral students. Supervisors and other staff involved in postgraduate programmes and processes are also encouraged to attend these activities. Regular Mix and Mingle social events provide opportunities for students to meet peers from across the University. These activities complement those provided by the faculties.

The GRS also hosts the University Postgraduate Symposium and the 3 Minute Thesis Competition each year. Information regarding these events is sent by email to all currently enrolled postgraduate students.

### **University Postgraduate Seminar Series**

The University provides a series of central seminars for postgraduate students which are coordinated by the research and development team within the GRS. The series involves a wide range of seminars and networking opportunities throughout the year, providing opportunities to develop research skills as well as avenues to engage with staff and students from all areas in the University community.

The seminar programme is made available to all currently enrolled postgraduate students via the AUT website. Some of the seminars are specifically targeted to

students intending to engage in research. These are identified in the programme.

You can find further details on seminars and bookings via the eLab website (you'll need your student log in credentials):

<https://elab.aut.ac.nz/students/events/Type/10/postgraduate-seminars>

### **Integrity in Research**

Turnitin is a resource for students enrolled in an AUT thesis or dissertation to check their own work for originality (plagiarism). The Turnitin feature has been set up to allow for research (including embargoed work) to be submitted, without information being stored within the Turnitin database.

Faculties may submit student's research proposals (PGR1/PGR2), or Confirmation of Candidature (PGR9) forms through Turnitin as part of the approval process. It is compulsory that all theses and dissertations, except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. See page 119 for further details.

## Statement of Minimum Resources for Doctoral and Masters Research Students

The University recognises the importance of providing appropriate resources for doctoral and masters research students in order to assist with project resources, study space, equipment, access and facilities that are essential to the successful completion of their research, see *Minimum Resources Protocol*. For distance students, this statement should be read in conjunction with the *Off Campus Registration Protocol*.

In addition to project resources approved in the budget section of the PGR1, PGR2 and PGR9 (see page 176 for details on forms), the University, through the Head of School, makes a commitment to support research students by providing access to the following:

- Existing University resources to undertake the research (for example: equipment, materials, facilities, and funding for fieldwork or data collection or other activities considered essential to the successful completion of the project).
- An equipped working/quiet study/writing/ or shared study space, including secure storage, with access to communal meeting space including tea and coffee making facilities. In the case of laboratory and experimental subjects: adequate bench space, routine/basic consumables needed for the research, technical support and supervision for the use and maintenance of instrumentation. In the case of creative practice areas: access to studio space.
- Access to departmental and central workspace facilities, provided both safety and security requirements are met.

Access to:

- Computing resources – a computer with appropriate software for research and access to IT support.
- Email and internet communications, as well as access to a printer and an allowance towards copying. Students should be informed of extra charges or any change in rate of charges made by the department, institute, faculty or university prior to the charge being made.
- Library resources and services.
- University seminars, workshops and events.
- Each faculty/school is required to establish a maximum amount for a reimbursement of research support annually.

**Note:**

- *The resources referred to in this policy do not include human resources such as supervisory knowledge and skills. These human resources are covered by separate regulations and policies.*
- *The University encourages students and their supervisors to apply for funding from other sources to support appropriate aspects of their research projects. Irrespective of the funding source, however, Departments and Schools remain accountable for ensuring that (i) appropriate resources are provided and (ii)*

*students are informed about where and how to access the resources.*

- *Where circumstances beyond the direct control of the student, supervisor and Department/School necessitate an alteration of the research project's cost structure, the Department/School is responsible for ensuring that the project continues to be resourced.*

Each Faculty has a different reimbursement policy for thesis expenses, the amount for each faculty may differ. Students should provide a section in their research proposal (PGR1 for master's/bachelor with honours and PGR9 for doctorates). All students should be adequately resourced to conduct their research. Some resources are provided as described in the *Minimum Resources Protocol*. Each student's research budget needs to be considered and approved as part of the proposal approval process for the research project.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

## University Postgraduate Study Rooms

Postgraduate Study Rooms are located on the City (WU415), AUT North Campus (AL210) and AUT South Campus (MA206). A doctoral study room (MH206) is also available for students registered on the South Campus (with kitchen facilities nearby). As there are limited desk spaces students need to apply for access. Please get in touch with the GRS on how to do this. These postgraduate study rooms provide a variety of resources for postgraduate students' convenience. Undergraduate students are not permitted access to the study rooms and postgraduate students are requested to respect the facilities provided.

Shared facilities include:

- A kitchen area with fridge and microwave;
- A telephone for internal calls;
- Individual study spaces with power points;
- Networked computers and a printer (normal printing charges apply);
- Wireless internet access.

The Study Rooms have access 24/7 by means of swipe cards and are monitored after hours and on weekends by Security. Postgraduate students should contact their campus Security Office to obtain a swipe card to the room, this can be arranged during normal office hours.

The GRS is responsible for maintaining the facilities for the City Campus Postgraduate Study Room. The AUT Library maintains the AUT North and South Campus Postgraduate Study Room.

**Note:** *To gain access to faculty postgraduate resources, please contact your faculty postgraduate administrator. Please note that Faculty spaces are not available 24/7 and opening hours vary.*



## Library Services

The Library is located on three campus sites:

- City Campus, (WA Building)
- AUT North Campus, (AL Building)
- AUT South Campus, (MA Building)

### Library Homepage

[www.library.aut.ac.nz](http://www.library.aut.ac.nz)

The Library homepage is the gateway for:

- Searching and accessing library resources;
- Accessing online tutorials and subject guides;
- Communicating with librarians – chatting with librarians and sending enquiries online;
- Finding general library information, such as, loan policies, opening hours and library contact details.

### Information Resources

The Library provides materials for learning and research in various formats. These include article databases, subject specialised databases, books, journals, magazines, newspapers, statistical data and audio/video materials. The Library provides access to a large number of electronic books and most journals can be accessed online.

17

In order to access to library resources, students should have:

- A student ID card for borrowing print materials;
- An AUT login for accessing Library electronic resources.

### Get items from other libraries

- ArticleReach: Students may request articles from a selection of libraries worldwide. This service is free of charge. Requests should be submitted to <https://arlr.aut.ac.nz/> or through the ArticleReach link in Library Search.
- Bonus+ scheme: Students may request books from a selection of university libraries within NZ and Australia. This service is free of charge. Requests should be submitted to <https://bonus.aut.ac.nz/> or through the Bonus+ link in Library Search.
- Interlibrary loan: the Library may provide you books and articles not held by AUT Library, from libraries worldwide. This service is free of charge. Requests should be submitted online.
- ULANZ National Borrowing scheme: AUT Students are eligible to borrow, in person, from any other member university under this scheme. (All New Zealand

and Australian university libraries are ULANZ members with the exception of the University of Auckland).

### **Learning Advice**

To complement the academic support you receive from lecturers, supervisors and other faculty staff, Learning Advisors work with postgraduate coursework and research students to develop relevant academic literacies.

During the semester, Learning Advisors offer a range of workshops for all students, including postgraduates, covering topics such as paraphrasing, referencing, writing, and oral presentations.

Learning Advisors also offer seminars specifically for postgraduate students related to writing various aspects of your thesis or dissertation: abstract, introduction, literature review, methodology, results, discussion, and conclusion.

A suite of electronic learning resources and other information specifically relevant to the academic development needs of postgraduate students is available from the Library website.

### **Research Support**

The Library offers a wide range of research support services to postgraduate students.

- Liaison Librarians provide subject-specialised assistance to all students. Make an appointment for an in-depth research consultation with your Liaison Librarian.
- There are Library workshops and webinars specifically for postgraduate students. Online booking is available from the Library website.
- You can find online tutorials, subject guides and research guides from the Library website.
- Guidance and advice on copyright issues is also available on the Library website
- Contact Team Leader Research Support Ann Chen achen@aut.ac.nz for any enquires.

### **Distance Library Service**

This service is available for students living further than 50km away from AUT University. The Library will supply free of charge books (within New Zealand) and photocopied articles or book chapters (New Zealand and overseas). Find more information about this service on the Library website.

## **Computing Resources**

Email and Internet access are available to all students. New students must complete the Student Internet Registration Page. A returning student who requires an AUT Internet account for the first time must also complete the Student Internet Registration Page.

## **AUT Network and Internet Login**

Type your network login name into the username box, in lower case. It is three letters followed by four digits e.g. abc1234 You can find your network login on the bottom right corner of your student ID card.

Your initial password is your date of birth in the ddmmm format, where dd is your date of birth and mmm is the first 3 letters of the month all in lowercase (e.g. 3rd of August would be 03aug).

Domestic students can find your username and password on the bottom of your offer of place.

International Students will need to visit the IT Helpdesk (City Campus: Level 4 WA Building, North Campus: AL Building, or South Campus: Level 2 MA Building) to get your username and password.

Your Internet login name and password is the same as the standard network login name and password that you use when you login to AUT's computer network.

The standard AUT email address format for students is `networkloginname@autuni.ac.nz`, for example, <abc1234@autuni.ac.nz> for Kirsty Wilson.

## **IT Service Desk**

If you experience any problems with Internet access or email, please contact the IT Service Desk in the Open Access Labs, on ext. 9888 or <https://aut.service-now.com/autsp>

## **Funding for Research**

Additional funding to support postgraduate research may be available to students from:

- University Scholarships;
- Faculty scholarships;
- Reimbursement for research expenses;
- External funding, including funding from professional associations, or discipline-specific funding bodies;
- Universities NZ Scholarships

Information on available funding can be obtained from the University Scholarships Office, Research and Innovation Office, faculty offices, programme leaders, faculty postgraduate administrators, and research supervisors.

## **Scholarships Office**

The AUT Scholarships Office administers a variety of postgraduate scholarships available to new and returning students. Staff can advise on external sources of funding and provide assistance throughout the application process. [www.aut.ac.nz/scholarships](http://www.aut.ac.nz/scholarships)

## **Research and Innovation Office (RIO)**

The Research and Innovation Office (RIO) is responsible for the authorisation of all external applications to research funders and project proposals to businesses made by University researchers (whether staff members or students). It also provides assistance to postgraduate students applying for external research scholarships, research funding or planning to work with external parties on a research project. Contact the Office as early as possible when considering applications, as they can advise and assist with application preparation. All applications must be completed and submitted not less than 3 working days before the deadline.

## **AUT Ventures Ltd**

AUT Ventures Ltd assists AUT staff, students, and alumni to realise the commercial impact of their ideas and research. The company assists with the identification and commercialisation of intellectual property (IP) owned by the University, consulting contracts and start-up ventures. AUT Ventures works alongside the Research & Innovation Office (RIO) and AUT's Office for Governance and Legal Support, to provide a comprehensive range of support services.

[www.ventures.aut.ac.nz](http://www.ventures.aut.ac.nz)

## **Student Services**

Along with Faculties and Graduate Research School (GRS), Student Services provide a wide range of support and advisory services to help postgraduate students succeed at AUT. Contact numbers for the above Student Services are listed on page 168.

## **Student Hub**

The AUT Student Hub is one of the places to go for help. Located on each campus, the Student Hub gives you access to a range of services and support to help you succeed at AUT. Student Hub Advisors will help you with your study or personal needs, and will either resolve your need on the spot, or put you in touch with the right person on campus. Our trained and professional staff will follow up to ensure you get the support you need.

[www.aut.ac.nz/studenthub](http://www.aut.ac.nz/studenthub)

## **Employability and Careers**

The AUT Employability and Careers team is here to help you become a highly employable and well-rounded AUT graduate. Our friendly employability and career specialists focus on helping you develop the skills to stand out to employers when looking for a work placement or graduate job.

- Improve your CV, job search or interview techniques through workshops and our online interview practice tool (InterviewStream),
- Increase your networking skills by attending speaker series, career fairs, workshops and presentations,
- Make contact with employers looking for students for co-operative education,

work experience placements or voluntary work through eLab, speaker series and career fairs,

- Review your career direction or figure out whether you're in the right programme by talking to a career specialist.

[www.aut.ac.nz/employability](http://www.aut.ac.nz/employability)

### **Orientation**

AUT helps students new to postgraduate study by providing them with a University-wide orientation, faculty induction and a series of postgraduate academic skills workshops. Orientation also encourages networking among postgraduate students across disciplines which is essential to those engaged in inter-disciplinary fields.

[www.aut.ac.nz/orientation](http://www.aut.ac.nz/orientation)

Academic inductions specific to your programme of study are also run by some faculties.

### **Student Accommodation**

AUT has two residential complexes: Wellesley Student Apartments at AUT City Campus and Akoranga Student Village at AUT North Campus.

Wellesley Student Apartments (WSA) is located in the heart of Auckland City at 8 Mount Street, and is a three minute walk from the AUT City Campus. WSA provides flatting-style accommodation in a safe, supportive and modern environment and features group living in fully-furnished four or five bedrooms apartments with two bathrooms and a living area and kitchen in each unit.

Akoranga Student Village (ASV) is located at 42 Akoranga Drive in North Shore City, and is next to the AUT North Campus. ASV provides flatting-style, group accommodation with each fully-furnished apartment containing five or six bedrooms, two bathrooms, and a living area and kitchen. A shuttle bus runs between the AUT City and AUT North Campuses.

[www.aut.ac.nz/accommodation](http://www.aut.ac.nz/accommodation)

### **The Chinese Centre**

The Chinese Centre is a 'home away from home' for all AUT Chinese-speaking students. Chinese-speaking staff are available to assist students with Western academic study, provide information and advice on life at AUT, campus services, academic regulations, enrolment and programme selection and answer questions about living and studying in Auckland.

[www.aut.ac.nz/chinesecentre](http://www.aut.ac.nz/chinesecentre)

### **Student Medical Centre**

The Student Medical Centre provides a full range of medical services, including a General Practice (GP), for current students and staff on campus. For affordable, fully-accredited healthcare with male and female doctors and nurses. Their services are confidential and tailored to meet the needs of students.

The Student Medical Centre is a member of Auckland PHO. Domestic students who

register with the service may be eligible for free routine doctor and nurse consultations<sup>1</sup>.

#### *AUT City Campus*

Location: WB219  
8am – 4pm (Mon/Wed/Fri)  
10am–4.30pm Thursdays  
Phone: (09) 921 9992

#### *AUT North Campus*

Location: AX100 (3 Akoranga Drive, Northcote)  
8am–4pm Monday–Wednesday, Fri  
10–4pm Thursdays  
Phone: (09) 921 9998

#### *AUT South Campus*

Location: MB109 (Nursing services only)  
Phone: (09) 921 9992

Free nurse consultations for all AUT students Tuesdays at South Campus.

Domestic students who are studying at the South Campus can enrol with one of four local Medical Practices and receive three free GP consultations with that practice <http://www.aut.ac.nz/health>

### **Student Counselling and Mental Health**

Counselling services (including online counselling) are free along with mental health support, harassment support, and spirituality and chaplaincy services. These professionals work with students to promote healthy living.

#### *AUT City Campus*

Location: WB203  
8.30am – 4.30pm (Mon–Fri)  
Phone: (09) 921 9292

#### *AUT North Campus*

Location: AX100 (3 Akoranga Drive, Northcote)  
8am–4pm Monday– Fri  
Phone: (09) 921 9292

#### *AUT South Campus*

Location: MB107b  
8.30am–4.30pm Mon, Wed, Fri  
Phone: (09) 921 9292

To make an appointment for all campuses call 09 9292, or come to reception in WB203 on the city campus.

<sup>1</sup> Material costs and fees for non-routine consultations may apply.









# ADMISSION

- PROGRAMME INFORMATION
- ENTRY CRITERIA
- APPLICATION
- ADMISSION
- ENROLMENT

# PROGRAMME INFORMATION & ENTRY CRITERIA

**Note:** *Faculties may submit students' work through Turnitin as part of the approval process.*

The University's Academic Board approves the regulations for the University's qualifications. A copy of the regulation for each individual programme is found in the AUT Academic Calendar.

Admission to a research programme is only possible if the faculty in which the student will be registered is in a position to provide appropriate resources, including supervision, for the proposed course of study or research.

In the case of doctoral and Master of Philosophy degrees, application should only be made after discussion with the appropriate faculty staff (such as the Associate Dean (Postgraduate) or Postgraduate Programme Leader) regarding available resources for research and the availability of appropriate supervision.

## Higher Doctorate

### Characteristics

A Higher Doctorate may only be awarded as a Doctor of Literature or a Doctor of Science, and may only be awarded for a substantial collection of work which constitutes an original, substantial and distinguished contribution to scholarship, and:

- Indicates a record of special excellence in their original contributions in research or creative achievement;
- Shows the candidate to be a distinguished leader in the relevant field; and
- Provides an original and prestigious contribution to the relevant field of knowledge.

Higher Doctorates may be of two types:

- Doctor of Literature (DLitt): The scope of practice for a DLitt includes evidence of an original contribution of excellence in philosophical, social, cultural, historical, or linguistic knowledge – evidence that is considered to have international and authoritative standing in their discipline/field.
- Doctor of Science (DSc): The scope of practice for a DSc includes evidence of an original contribution of excellence in a branch of science that is considered to have international and authoritative standing in their discipline/field.

### Eligibility

Applicants for a higher doctorate must comply with the Standard Qualification Regulations for Higher Doctorates which must be read in conjunction with the General Academic Regulations of the AUT Academic Calendar.

In order to be eligible to apply for a Higher Doctorate, an applicant must be: A graduate of the University; or a long standing-academic staff member of the University; or a person who has some other long-standing connection with the University.

The scope of practice for a DLitt includes evidence of an original contribution of excellence in philosophical, social, cultural, historical, or linguistic knowledge – evidence that is considered to have international and authoritative standing in their discipline/field.

The scope of practice for a DSc includes evidence of an original contribution of excellence in a branch of science that is considered to have international and authoritative standing in their discipline/field.

No person shall become a candidate for a DLitt or DSc until at least ten years after graduation of the qualifying degree.

Work submitted on a previous occasion for consideration of a DLitt/DSc will not be reconsidered for the Degree unless more than five years have lapsed since the previous submission and the resubmission includes new material.

### **Application to a Higher Doctorate**

An applicant for a higher doctorate must send a complete application to the Dean of the Graduate Research School accompanied by the application fee.

Every application shall consist of:

- Four copies of the published work on which the candidature is based. Books should be submitted in the form in which they are published. It is the responsibility of the candidate to submit four copies of their material in a format suitable for examination.
- Four copies of a table of contents, giving full bibliographical references.
- A signed statement by the applicant that none of the material submitted has formed part of material accepted for any degree or diploma in this or any other university, and that none of the material is concurrently being submitted for any degree or diploma in this or any other university.
- If joint work is submitted, a statement is required in regard to each piece of joint work or where appropriate, each joint programme, as to the precise nature of the applicant's contribution to it (including contributions to the conception, experimentation or analysis, writing process, and administrative direction).
- Four copies of a curriculum vitae indicating, at least, the date of the qualifying degree (if applicable), positions held, honours granted and other publications.
- Four copies of a proposal, not exceeding 3,000 words, describing how and why this material is thought to meet the requirements for a Higher Doctorate.

# Doctoral Degrees

## Level and Characteristics

Doctoral degrees are awarded at postgraduate level and require a minimum of 360 points at level 10.

Doctoral degrees are characterised by advanced study and original research in a discipline, and as such:

- Demand extensive knowledge of the wider subject in which the topic for intensive investigation is situated;
- Conduct pure or applied research, creative planning and design, practical work and original scholarship to international standards, with graduates demonstrating well-developed skills of research, critical analysis and application so as to demonstrate independence of thought in their area of specialisation;
- Require sustained self-directed study and independent work;
- Require excellent communication skills for creating, synthesising, evaluating and persuading;
- Expect graduates to participate in international academic discussion in their field of study;
- Expect a tangible output that is an original contribution to knowledge in a discipline or field of study to an international standard.

28

Doctorates may be of two types:

- Doctor of Philosophy (PhD): the thesis constitutes the entire body of work on which the qualification is judged;
- Professional doctorates: a doctorate in a specified field or discipline. A coursework component (papers) forms part of the programme along with a thesis.

## Graduate Profiles

All programmes at the Auckland University of Technology have a graduate profile. These profiles include the expectations of graduates from each programme and make the University's values and qualities transparent to students and the community. Doctoral students will attain knowledge, values and attributes which allow them to make significant contributions to their professional communities and societies through further high quality research, and developments.

### Doctor of Philosophy Graduate Profile

A Doctor of Philosophy graduate will undertake advanced research, develop their careers personally and professionally, make significant contributions to societies and obtain (but not be limited to):

- Advanced specialist/discipline knowledge that makes an original contribution to a particular field of enquiry and as appropriate to local and global communities;
- A mastery of a body of knowledge, including a high level of understanding of

- conceptual and theoretical elements, in the field of study;
- A high level of understanding and appreciation of the philosophical basis, methodologies and characteristics of scholarship, research and creative work in their field of study;
- An advanced ability to analyse information where relevant, using appropriate tools, technologies and methods;
- An advanced capacity for critical appraisal of relevant scholarly literature/ knowledge;
- An advanced ability to initiate, design, conduct, sustain and report research;
- Personal, professional, intellectual integrity respect, and understanding of the ethical dimensions of research and scholarly activity and where appropriate demonstrate understanding of the Treaty principles in practice;
- A critical understanding and appreciation of the acquisition of knowledge and professional learning for work practice;
- Significant expertise through the research, practice/work, leadership or management roles in their field of study;
- An advanced capacity to communicate ideas effectively to a range of audiences inside the field of study or discipline and to the wider community;
- Confidence and knowledge to make critical commentary on relevant and topical issues in their field of study.

### **Doctor of Education Graduate Profile**

A Doctor of Education graduate will be able to:

- Construct and apply advanced theoretical concepts and knowledge to investigate professional practice;
- Apply an in-depth knowledge based on theoretical and empirical investigation of a specific topic or issue;
- Understand a range of philosophical and methodological issues of significance in educational research in New Zealand, the Pacific and the global context;
- Critically analyse past and current social, political, economic and cultural forces in both local and global society and appreciate how they impact on educational practice and policy;
- Generate new knowledge in a chosen educational field or issue;
- Critically appraise relevant scholarly literature and cultural knowledge(s);
- Work in both collaborative and individual learning approaches in order to better confront problems and issues;
- Encourage greater co-operation, understanding and debate across the sectors in education on contemporary issues;
- Demonstrate recognition of a range of professional and ethical issues and responsibilities, within the context of education research and scholarly activity;
- Be able to use the confidence of their knowledge to make critical commentary on relevant and topical issues in their field of study;

- Use their enhanced qualities of leadership to incorporate informed decision-making based on the analysis of evidence drawn from multiple cultural sources;
- Appreciate and demonstrate a commitment to the principles of the Treaty of Waitangi and to the inscription of difference and its politics related to pedagogy.

### Doctor of Health Science Graduate Profile

A Doctor of Health Science graduate will be able to:

- Make a significant original contribution to knowledge and understanding that advances professional practice;
- Provide leadership and manage projects towards achieving change;
- Construct, conduct and guide research to assist in identifying practice issues;
- Conceptualise complex notions and translate abstract concepts into practice;
- Understand the diversity, paradox and uncertainty of practice and be able to work creatively in such an environment;
- Analyse, question and critique practice issues within the socio-political environment that is New Zealand;
- Confidently and knowledgeably make critical commentary on relevant and topical issues;
- Contribute to professional and academic debate through publication, conferences and seminars.

30

### Entry Criteria

**Note:** *The Doctor of Education (EdD) is no longer taking new admissions to the programme.*

Applicants for admission to a doctoral degree must comply with the Standard Qualification Regulations for Doctoral Degrees which must be read in conjunction with the General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to a doctoral degree, an applicant shall normally have completed the requirements of either a master's degree with honours or a bachelor's degree with honours (equivalent to four years of study) in a discipline which is appropriate to the proposed research:

- The degree must normally have been gained at the standard of first or second class (first division) honours from a New Zealand tertiary institution or equivalent;
- The degree for applicants to the doctoral programmes must also have included advanced learning in research, the execution of a research project and the writing of a report on that research;
- In addition, a professional doctorate applicant must provide evidence of having a minimum of five years' professional experience in their specific area of study.

Doctor of Health Science applicants who do not demonstrate the criteria above can provide evidence of equivalence where they have:

- Authored a substantial practice project report or paper;

- Been a leading player in a significant change project and write up of research.

The initial admission status will be determined by the University Postgraduate Board as provisional. In some circumstances, a student transferring from another institution or qualification can be admitted as confirmed status.

- Applications with professional, coursework only, terminating 180 point master's degrees will not normally be able to proceed directly to doctoral studies, and would be expected to complete a master's degree by research first.
- Applicants who do not meet the standard entry criteria are required to provide a letter of support from their supervisor with their application. A letter of support for admission should focus on the applicant's:
  - Competency/knowledge of the methodology and methods to be undertaken and that this knowledge is current;
  - If the research component is minor (less than 25% of the programme total points), that the supervisor has seen the written report and can affirm in writing that it is equivalent to master's level research;
  - When the admitting qualification is older than 5 years that there is evidence of currency within the discipline;
  - Where the application is borderline in meeting the criteria, recommend possible conditions.

The letter should provide examples and use the student's previous qualifications, publications, and work history (where relevant) to demonstrate the above. The documents mentioned should be part of the application: transcripts, references, CVs, etc.

## Master's Degrees

### Research

Masters degrees include research of varying sizes. CUAP defines a research component as follows:

- Theses are 90 points and above
- Dissertations are 60 points
- Research Projects are less than 60 points.

A thesis is submitted in support or partial support of an academic/university degree in which the student's own work forms, an independent scholarly argument involving original research. The thesis document ( which may consist of an artefact and exegesis) contains an intellectual enquiry of an appropriate topic, deemed equivalent to a minimum of 90 points

A dissertation or research project is submitted in partial support of an academic degree in which the student undertakes an independent scholarly investigation of an appropriate research topic. A research project is equivalent to a dissertation which contains research that is being undertaken where a master's contains coursework and research.

Students undertaking research within a master's programme are required to go through an approval process which may include the completion of a postgraduate research proposal (PGR1) which is approved through the Faculty Postgraduate Committee.

A master's degree must comprise a minimum of 40 points at level 9 with the remainder at level 8.

## Outcomes

A person with a master's degree is able to:

- Show evidence of advanced knowledge about a specialist field of enquiry or professional practice;
- Demonstrate mastery of sophisticated theoretical subject matter;
- Evaluate critically the findings and discussions in the literature;
- Research, analyse and argue from evidence;
- Work independently and apply knowledge to new situations;
- Engage in rigorous intellectual analysis, criticism and problem-solving.

If a master's degree includes a component of supervised research of not fewer than 30 points (0.25 EFTS), the graduate is also able to:

- Demonstrate a high order of skill in the planning, execution and completion of a piece of original research, and
- Apply research skills learned during the study programme to new situations;
- Achieved to an appropriate standard, such a degree will prepare graduates for consideration for entry to doctoral studies.

## Master's degrees are structured in three main ways:

### 1. Master's degrees by thesis or primarily by research

A master's degree primarily by research normally builds on a postgraduate diploma or bachelor with honours degree in the same area of study. Such a degree is normally 120 points and consists primarily of a thesis at level 9. Master's degrees of 120 points include, for full-time students, a one year thesis component (two years for part-time) e.g. a Master of Philosophy.

### 2. Master's degrees by coursework and research

Master's degrees by coursework and thesis are normally either 180 or 240 points and includes, coursework and a research component. A master's degree by coursework and thesis must include at least a 90 point thesis at level 9 and may include between 90-150 points of coursework at level 8.

### 3. Master's degrees by coursework-level and characteristics

Master's degrees by coursework are normally between 120 and 180 points if building on an undergraduate degree. Master's degrees by coursework do not include a thesis but must have at least 40 points at level 9 usually in the form of a capstone research



project.

Specific requirements are detailed in the programme regulations available in the AUT Academic Calendar.

## Entry Criteria for Master's Degrees

### Master's degree (180 or 240 points)

You need to have completed one of the following to a merit standard in a relevant field:

- Bachelor's degree;
- Graduate diploma.

*In exceptional circumstances they may include:*

- Professional qualification equivalent to a 3-year undergraduate degree;
- Professional experience equivalent to an undergraduate degree or recognised professional qualification.

### Master's degree (120 points)

You need to have completed one of the following to a merit standard in a relevant field:

- A 3-year bachelor's degree and one year of advanced study;
- A 4-year bachelor's degree;
- A bachelor with honours;
- A postgraduate diploma.

*In some circumstances:*

- An undergraduate degree followed by relevant professional experience.

## Master of Philosophy Degree

### Level and Characteristics

The goals of the Master of Philosophy is to enable a student who has successfully completed approved and supervised research, to:

- Critically investigate an approved topic of substance and significance;
- Demonstrate independent thinking;
- Demonstrate expertise in the methods of research and scholarship;
- Make a significant contribution to the subject area or discipline;
- Cogently present scholarly and publishable outcomes.

### Master of Philosophy Graduate Profile<sup>1</sup>

A graduate from the Master of Philosophy will undertake research and be able to:

- Initiate, design, conduct, sustain, and report on a research project in a logical and critical manner;
- Critically reflect on and appreciate the acquisition of knowledge and professional

<sup>1</sup> Graduate Profiles for discipline Masters are available in each Postgraduate Programme Handbook.

- learning;
- Be self-motivated and demonstrate independent thinking within their field of study;
- Source, analyse, and evaluate information in relation to the philosophical basis, methodologies, and methods of their study;
- Demonstrate expertise in analysis of information using appropriate tools, technologies, and methods;
- Work autonomously, responsibly, and cooperatively with an awareness of integrity, truthfulness, and accountability;
- Understand ethical issues and apply this understanding to the making of ethical decisions in research;
- Present the outcomes of research with confidence, critical analysis, evaluation, originality, and engagement with academic debate.

Applicants for admission to the Master of Philosophy degree must comply with the Programme Regulations for the Master of Philosophy:

### Admission

1. In order to be admitted to the Master of Philosophy an applicant must have completed one of the following:
  - a) A four-year bachelor's degree; or,
  - b) A bachelor's honours degree; or,
  - c) A bachelor's degree and a postgraduate diploma; or,
  - d) A bachelor's degree and at least three years of experience relevant to the proposed programme of research.
2. A student must have completed their admission qualification in 1 above with the equivalent of a B grade average or higher.
3. In exceptional circumstances, an applicant may be admitted who does not meet the requirements in 1 above, but who has a professional qualification and/or extensive professional or scholarly experience; either 'of an appropriate kind' or 'relevant to the proposed subject of the thesis'.
4. An applicant who applies under 1 or 3 above must provide evidence to the University Postgraduate Board of their ability to pursue research in the proposed subject of the thesis.
5. The University Postgraduate Board may require an applicant to complete an approved course in research methods and/or complete any other preparatory paper(s) or work prior to admission.
6. The University Postgraduate Board must be satisfied that an applicant's proposed programme of research is viable and the arrangements for supervision are appropriate and able to be sustained.
7. Admission to the Master of Philosophy is subject to the approval of the University Postgraduate Board.

Applicants who do not meet the standard entry criteria are required to provide a letter of support from their supervisor with their application. A letter of support for admission should focus on the applicant's:

- Competency/knowledge of the methodology and methods to be undertaken and that this knowledge is current;
- When the admitting qualification is older than 5 years that there is evidence of currency within the discipline;
- Where the application is borderline in meeting the criteria, recommend possible conditions.

The letter should provide examples and use the student's previous qualifications, publications, and work history (where relevant) to demonstrate the above. The documents mentioned should be part of the application: transcripts, references, CVs, etc.

### Completion Requirements:

- To qualify for the Master of Philosophy, a student must achieve 120 points by successfully completing a thesis.  
**Note:** *the thesis code is allocated by the relevant department at enrolment.*
- A full-time student must complete the requirements for the Master of Philosophy within 12 months, and a part-time student within 36 months of first enrolment in the programme.

## Postgraduate Diploma and Certificate Qualifications

### Level and Characteristics

Postgraduate diploma and certificate qualifications are awarded at postgraduate level and require a minimum of 120 points (postgraduate diplomas) and 60 points (postgraduate certificates) at level 8 or higher. Specific requirements are detailed in the programme regulations available in the AUT Academic Calendar.

### Entry Criteria

Applicants for admission to a postgraduate diploma or postgraduate certificate programme must comply with the Standard Qualification Regulations for Postgraduate Diplomas and Postgraduate Certificates which must be read in conjunction with the General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to a postgraduate diploma or a postgraduate certificate, an applicant shall normally have completed the requirements of one of the following in a relevant field from a New Zealand tertiary institution or equivalent:

- A bachelor's degree;
- A professional qualification recognised by the University as being equivalent to a bachelor's degree;
- Evidence of professional experience deemed by the University to be equivalent to a bachelor's degree;

- Where the admission qualification does not provide a basis for study at postgraduate level, enrolment in transitional studies may be required before the applicant is admitted to the programme.

## Bachelor's Degrees with Honours

### Level and Characteristics

A one-year bachelor's degree with honours is awarded at postgraduate level and normally requires a research component of at least 30 points.

Specific requirements are detailed in the programme regulations available in the AUT Academic Calendar.

### Entry Criteria

Applicants for admission to a bachelor's degree with honours must comply with the Standard Qualification Regulations for Bachelor's Degrees with Honours which must be read in conjunction with the individual programme regulations and General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to a one-year bachelor's degree with honours, an applicant shall normally have completed a bachelor's degree gained with a minimum of B average in the relevant field of study over 75 points at Level 7 from a New Zealand tertiary institution or equivalent. Some programmes may require a B+ average for admission. Please refer to the AUT Academic Calendar for details.

Please refer to the AUT Academic Calendar, Standard Qualification Regulations for information on specific programme regulations and admission requirements for AUT's postgraduate programmes.

<http://www.aut.ac.nz/about-aut/university-publications/academic-calendar>

## Attendance Requirements

The University has to be satisfied that:

- The student will have sufficient time to complete the requirements within the maximum period;
- The student will be able to meet with their supervisor (for research students) in person to discuss progress at least once every month or have made arrangements for dialogue to occur by other means;
- The research will be planned and carried out by the student under the auspices of the University;
- The student will be able to attend the University as required;
- The student will be able to participate in seminars, workshops and the academic life of the University;
- The student will not be undertaking a level of employment that would interfere with progress of the research.

# APPLICATION REQUIREMENTS

## Note:

- *Individual faculties determine the closing date for postgraduate applications. Applicants should contact faculty postgraduate offices directly for these. Applications for the Master of Philosophy and Doctor of Philosophy are considered throughout the year;*
- *It is important to note that applicants to degrees which encompass an immediate commencement of a research component such as a thesis, dissertation or exegesis, must provide a research proposal as part of their admission requirements;*
- *Doctoral students initially enquiring about undertaking a thesis should prepare a brief initial research proposal that is one page, size 12 font for consideration;*
- *Faculties may submit students' work through Turnitin as part of the approval process.*

## Domestic Applicants

Applicants who are New Zealand citizens or permanent residents wishing to undertake postgraduate study must apply online at <http://arion.aut.ac.nz>. This application must be accompanied with supporting documentation and returned or completed online by the due date specified by the faculty.

37

Once you have completed the application and this has been received by the University Admissions Office, you will be sent a letter acknowledging your application. You will be contacted by the University Admissions Office if further information is required.

## International Applicants

International applicants need to complete an International Student Application for Enrolment form. Applicants can apply online at <https://apply.aut.ac.nz> or can download the Application for Enrolment form from the International Student Centre. <http://www.aut.ac.nz/study-at-aut/apply-to-aut/applying-to-aut>

## English Language Requirements

All applicants for admission to postgraduate programmes are expected to have an appropriate level of proficiency in English.

Applicants for whom English or Māori is not their first language should provide one of the following:

- An International English Language Testing System (IELTS) results card (Academic), gained within the last two years, with a score as specified in the table 'English Language Criteria' detailed in the 2020 Academic Calendar;
- Evidence of a comparable pass in an equivalent language test gained within the last two years or other recognised English proficiency equivalency.

Applicants seeking admission under Part 3, Section 1, clause 1.5.4 of the AUT Academic Calendar regulations on English Language Requirements are required to provide proof of an acceptable pass/grade gained in an accepted English language test.

The preferred external test is the International English Language Testing System (IELTS) Academic test. A 1.0–9.0 scale is used to indicate the level achieved by any individual who takes the IELTS test; a separate score is given for each of the four skills of listening (L), speaking (S), reading (R) and writing (W).

The Certificate in English for Academic Study is recognised by AUT as a qualification which measures English language proficiency. However, for doctoral programmes, teacher education programmes and health science programmes this is not sufficient and IELTS must be used to demonstrate English language proficiency.

The English language requirements for all of the programmes offered by the University are specified in terms of the grading scale used for the IELTS test. Satisfactory performance in other tests is accepted by some teaching departments but not all; all departments prefer applicants to have taken the IELTS test within two years of their application to a programme.

The University offers a number of English Language support programmes that are detailed on the University website.

IELTS admission scores for qualifications can be found here: <http://www.aut.ac.nz/about-aut/university-publications/academic-calendar>

### **IELTS Exemption (doctoral applicants only)**

IELTS is required unless applicants have studied a qualification in English which was awarded within the last 3 years. If it was awarded more than 3 years ago, evidence of continued use of English will be required.

## **International Applicants to the Doctor of Philosophy Programme**

At the time of going to print, under existing legislation, all international PhD students will be treated as if they are residents and only pay domestic fees if they are:

- Enrolled in a PhD programme at a NZ University;
- Supervised by a leading researcher (see below regarding Leading Researchers);
- Resident in NZ for the duration of their study.

International students may be permitted to travel overseas during the data collection phase as appropriate, for no more than one year.

Students intending to reside overseas for longer than the period permitted for data collection will be required to pay international fees.

All enquiries regarding the possibility of undertaking Doctoral or Master of Philosophy

studies should be made in the first instance to the appropriate faculty contact (see Contact Numbers and Locations section). Negotiation with and appointment of a suitable supervisor is part of the admission process.

Once agreement has been reached that the faculty can accommodate the applicant and proposed research, an International Student Application for Enrolment form must be completed (available online, or from the International Student Centre). <http://www.aut.ac.nz/study-at-aut/apply-to-aut/applying-to-aut>

A supervisory mentor who is considered a 'leading researcher' will be appointed if neither supervisors have the required experience to be considered a 'leading researcher'.

### Leading Researcher

To be appointed a leading researcher, an academic staff member must have:

- Considerable supervisory experience:
  - Maintaining supervisor eligibility, see page 52
  - Having supervised a doctorate to successful completion;
- A recognised doctoral qualification; alternatively, seniority in a field of research such as professorial status may be recognised;
- Remaining research active, including recent evidence of international publications or equivalent recognition;
- Recent evidence of peer esteem and professional contribution.

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39

**Note:** *Individual faculties may have additional conditions that must be met and will advise the University Postgraduate Board of each appointment.*

## Application Processes

### Interviews or Additional Information

Depending on the faculty and programme you have applied for, you may also need to supply additional information (for example, a portfolio or curriculum vitae) or attend an interview. You will be contacted by the faculty if this is the case.

### What can delay an application?

There are several things that may delay your application:

- Incomplete application form received;
- The application form is not signed or dated;
- Required documentation has not been supplied;
- Required documentation has not been certified;
- Waiting on academic transcripts/results;
- Supervisory arrangements are not in place.

## Preparation Paper for Doctoral and Master of Philosophy Research Proposal

**Note:** *Enrolment in this paper does not constitute eligibility for student loans and allowances or acceptance onto the programme.*

In order to facilitate the preparation of the initial research proposal, applicants to the Doctoral and Master of Philosophy programmes are provided with access to University resources, free of charge for three months.<sup>1</sup> If this is required then applicants and supervisors should contact their faculty postgraduate administrator.

Enrolling in the Research Proposal Preparation Paper:

- The faculty will enrol the applicant in a nil fee paper and advise the GRS;
- The GRS will advise Registry Services of the enrolment and request a student identification card be generated and sent to the applicant.

## Transfers

**Note:**

- *It is important to note that the time taken in the master's research counts towards the doctoral completion timeframe;*
- *It is not normally allowable for research close to completion to be transferred;*
- *Research already submitted for examination may not be transferred.*

## Transfer from an AUT Master's Research Degree to the AUT PhD

Form PGR4 – Transfer to the PhD from an AUT Master's Programme

Form PGR9 – Confirmation of Candidature

In exceptional circumstances, a student enrolled in an AUT research master's degree who has completed the coursework component of that degree and has completed a significant portion of the research, may apply to the University Postgraduate Board (Form PGR4 and Form PGR9) for consideration for admission to the Doctor of Philosophy programme as a confirmed student. This should first be discussed with the primary supervisor and Associate Dean (Postgraduate).

The application for transfer must demonstrate that a student's research potential and academic performance are equivalent to those of a first class honours student.

**Evidence of the following must be provided:**

*Nature of Research Topic*

The research topic must be confirmed as having the potential for an original contribution to knowledge, as expected of doctoral studies. The research topic must also be a continuation of the original master's thesis topic.

*Student Performance*

A student should have a record in the master's degree which demonstrates consistent

1 For access to University resources, applicants should contact the faculty postgraduate administrator in the first instance.



quality research and scholastic achievement, including the ability to complete work within expected timeframes.

#### *Research Skills and Achievement*

Information such as the following should be used to substantiate the case:

- Significant progress with literature review;
- Significant progress with data collection and analysis;
- The provision of a brief summary of the results to date. This should indicate the potential for the progression to a doctoral thesis;
- Presentation of research results at faculty seminars;
- Presentation of research results at national or international conferences or symposia;
- The provision of a brief outline of future work to be undertaken within the Doctorate.

### **Transfer from an AUT Doctoral Degree to an AUT Master's Programme**

**Form PGR5 – Transfer of a PhD Candidature to a Master's Programme**

#### **Note:**

- *A withdrawn (W) grade will be recorded against the Doctorate qualification if the transfer occurs prior to 3 completed years of enrolment in the Doctoral Programme. Transfers after these timeframes will be recorded as Did Not Complete (DNC).*
- *It is not normally allowable for research close to completion to be transferred. Research already submitted for examination may not be transferred.*
- *A student who is transferring to a masters and submitting for examination in the same time period will be unable to change supervisors*
- *The student will need to be enrolled in a paper for recording results and reporting purposes.*
- *A student who is transferring to a masters and NOT submitting for examination in the same time period will be enrolled in a paper and required to pay fees.*
- *International students may be required to pay international fee rates.*

Students can only transfer to a master's degree with a research component of 90 points and above. Where applicable, the faculty will assess if the student meets the criteria for credit. (recognition of completing the paper requirements, or equivalent, of the master's programme).

Students wishing to transfer their candidature from an AUT doctoral degree to an AUT master's programme must supply the following information:

- Completed PGR5 – Transfer to an AUT Master's programme from an AUT Doctoral Programme form;
- Timeline to completion;

- A supporting statement from the supervisor(s)

## **Transfer of Doctoral Candidature from another Institution to AUT**

### **Form PGR3 – Transfer of PhD Candidature**

Students wishing to transfer their candidature from another institution to AUT must supply the following information:

- Completed Form PGR3;
- If the application is transferring as a provisional admission, a copy of the current institution's equivalent to the AUT PGR2 will be required. If the applicant is transferring as a confirmed admission, a copy of the current Institution's equivalent to the PGR9 will be required;
- Progress reports and additional information may also be requested.

Once admission is approved an offer will be issued with the following conditions:

- A letter from the external institution to confirm;
  - Withdrawal from the doctoral programme
  - The amount of time completed in the programme. Normally, students transferring must have completed no more than 3 years fulltime equivalent. Transfers exceeding this might be considered on a case by case basis.
  - Transfer of Intellectual Property (if applicable)

## **Transfer of Master's Research from Another Institution to an AUT Master's Research Degree or the Master of Philosophy Programme**

Where students are able to provide evidence that a proportion of their proposed research has already been undertaken (but not yet completed) in another tertiary education institution, then they may apply through their supervisor to the faculty postgraduate committee for this work to be recognised, and for a shorter period of registration than normal to be approved.

## **Notification**

Applicants to doctoral and Master of Philosophy degrees are informed of the results of their application in writing by the GRS. All other applicants are notified by the appropriate faculty postgraduate office.

Any conditions of admission will be identified in the letter.

An Offer of Place will normally accompany the letter. This must be signed and returned to the sender. The formal date of admission will be the date on which the University Postgraduate Board or faculty postgraduate committee accepted the application.

## Off-Campus Registration

All research students will normally be required to conduct their study on one of the Auckland based AUT campuses. However, in some circumstances a student may need to undertake their research off-campus, either within New Zealand or off-shore. An *Off-Campus Registration Protocol* has been created which documents conditions and a process whereby a student may be given permission to conduct their research off-campus, either in entirety, or for the data collection purposes.

In consultation with their supervisors and faculty, students may conduct their study off-campus for one block period, normally up to three months, without the requirement to complete an Off-Campus Registration. However, in some circumstances the Faculty Associate Dean (Postgraduate) may request that an Off-Campus Registration be completed for periods less than three months, or subsequent block periods.

Permission will normally only be granted where:

- AUT does not have the facilities required to conduct the research;
- Data collection is specific to the location or region that the student wishes to reside;
- Adequate arrangements are made to support the student from a distance.

### Applications

The student is expected to remain in close contact with their supervisor. Approval will need to be obtained from the University Postgraduate Board where the time off campus is longer than three months. Requirements in this situation are:

- The primary supervisor must be an AUT staff member;
- The student should have an additional supervisor or advisor located close to the proposed area of research;
- Off-campus details should be submitted to the Faculty Postgraduate Board including a detailed plan on how the research project will be managed
- The supervision agreement must be completed and submitted with the Off-Campus details.

International students and permanent residents should note that they may not qualify for domestic fees when residing overseas; this is dependent on the length of time they intend to spend overseas. In such cases, students should discuss with the International Student Support before committing to any plan that may affect this entitlement, and or student visa requirements.

Doctoral students are required to be present in New Zealand for their PGR9 presentation and the oral examination. Six-monthly progress reports should include specific updates on these meetings and how the student is progressing are required with specific comments from both the student and supervisor.

For further details including applying to study off-campus, durations of off-campus

study, studying off-campus within New Zealand and off-shore please refer to the *Off-Campus Registration Protocol* on the AUT website:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

# ADMISSION AND ENROLMENT

**Note:** *Faculties may submit students' work through Turnitin as part of the approval process.*

## Vulnerable Children's Act (2014)

The Vulnerable Children's Act (2014) was amended in July 2015. The legislation requires a safety audit for everyone working with children, including students on practicum. Students who have sustained contact with a child or children e.g. overnight, will need to meet the requirements of the Vulnerable Children's Act.

A student requiring sustained contact with a child or children will need to contact their primary supervisor and Faculty Associate Dean (Postgraduate) for advice on undertaking the appropriate checks.

## Admission to Doctoral Degrees<sup>1</sup>

### Applying for Admission

**Form PGR2 - Admission to an AUT Doctoral Programme**

Applicants are required to submit to their faculty a brief research proposal (PGR2) with their application for admission, after consultation with potential supervisors. Applicants for the Faculty of Business, Economics and Law, and the Faculty of Culture and Society and advised to consult the Research Proposal Guidelines for Applicants (available from the Faculty and on the AUT Website).

45

Normally, an applicant can apply and submit a PGR2 twice. Any further resubmissions, including submissions with a different topic, would be considered only on application to the University Postgraduate Board.

Faculties may require applicants to submit academic references along with their application for admission.

- Faculties will approve the research proposal and submit the application to the Graduate Research School (GRS) who will admit the student and notify the Board. Where the standard entry criteria are not met, the GRS will refer the application to the Dean of Graduate Research School;
- Applicants are normally informed of the outcome of their application via email by the Faculty and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the admission letter will be an Offer of Place which can be accepted online or signed and returned to the University Admissions Office. The formal date of admission will be the date on which the University Postgraduate Board accepted the application;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering

<sup>1</sup> The date of admission is not necessarily the date studies commence

involving human or animal subjects. See page 88 for ethical requirements, including when collecting data overseas.

For information regarding the deferment of an enrolment, please refer to Deferment of Enrolment "Variations to Candidature" on page 74.

### **Transitional Studies**

Where an applicant does not meet the normal entry criteria and is not admitted subject to conditions, the relevant faculty committee may recommend that the applicant satisfactorily completes transitional or graduate studies prior to being considered for, or concurrent with, provisional admission to the doctoral programme. The nature of transitional studies is recommended by the faculty and may range from enrolment in individual papers, through to the equivalent of an honours year. The relevant faculty committee will seek the approval of the University Postgraduate Board for any transitional study agreements.

### **Provisional Admission**

#### **Note:**

- *Prior to commencing the preparation of the Application for Provisional Admission (Form PGR2), students would normally have discussed and confirmed supervision arrangements with the Associate Dean (Postgraduate) and completed an Application for Enrolment (AFE) or International Application for Enrolment (IAFE) form.*
- *All forms are required to be signed by all members of the supervisory team (including mentors if appointed)*

Doctoral applicants are granted provisional admission while the full research proposal (PGR9) is being developed. The transition from provisional admission to full registration (confirmation of candidature) normally occurs no later than 12 months after commencement in the doctoral programme. The student should aim to commence the PGR9 – confirmation of candidature review process after 9 months of provisional admission to the doctoral programme with a view to submit the completed PGR9 to the University Postgraduate Board within 12 months of provisional admission.

The GRS will follow up with the student and supervisor if no recent communication regarding progress has been received at that point. If there continues to be no further communication, then the candidature will be deemed to have lapsed and the enrolment will be terminated.

### **Provisional Admission (with conditions)**

Sometimes students who are granted provisional admission to a doctoral degree are required to meet specific conditions prior to, or during, the period of provisional enrolment. These conditions are specified by the University Postgraduate Board and may include additional papers in the discipline area as well as reading papers, a research reports or papers in research methodology. The Board imposes these conditions in order to ensure that the student has the requisite knowledge and competencies

required for full registration. If the condition is not met within the specific timeframes mentioned in the offer letter, the student could be withdrawn from the programme.

Normally, students will be required to pass these papers with a 'B' grade or higher, although other grades may be prescribed as appropriate. When a 'B' grade is stated in documents it is a 'B' grade only that is acceptable. When a 'B grade-range' is stated in documents this means it can be from a 'B-' to a 'B+'.

Students required to undertake a concurrent enrolment in research methods paper(s), or any other required paper, as a condition of their provisional admission to the PhD programme will be eligible for a fee waiver for the paper(s). This does not apply to applicants who are required to complete a research methods paper prior to admission.

## Admission to Master's and Bachelor with Honours Degrees

Form PGR1 - Postgraduate Thesis/Dissertation Research Project Proposal

**Note:** *Processes for research projects are the same as for dissertations but will be undertaken within faculties.*

### Entry Criteria

Please refer to the Admission and Enrolment section – Entry Criteria on page 33.

### Applying for Admission to the Master of Philosophy Degree

Applicants must complete a postgraduate research proposal.

- The faculty postgraduate committee will approve and submit the application to the GRS who will admit the student and notify the University Postgraduate Board. Where standard entry criteria are not met, the GRS will refer the application to the University Postgraduate Board;
- Applicants are normally informed of the outcome of their application via email by the Faculty and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the admission letter will be an Offer of Place which can be accepted online, or signed and returned to Registry Services. The formal date of admission will be the date on which the University Postgraduate Board accepted the application;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering. See page 88 for ethical requirements, including when collecting data overseas.

For information regarding the deferment of an enrolment, refer to Deferment page 74.

## Approval Process for the Research Component of a Degree

**Note:** *Faculties may submit students' work through Turnitin as part of the approval process.*

### For research only master's degrees:

Students must complete a postgraduate research proposal before an Offer of Place will be issued for the thesis/dissertation paper:

- The proposal is submitted to the faculty postgraduate committee for approval;
- Once approved, an Offer of Place will be issued and the School will enrol the student into the thesis/dissertation;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering.

**Form PGR1 - Postgraduate Thesis/Dissertation Research Proposal.**

### For 240 and 180 master's degrees with a thesis/dissertation component:

Once the coursework component of the programme has been successfully completed students must complete a postgraduate research proposal before commencing their thesis/ dissertation:

- The proposal is submitted to the faculty postgraduate committee for approval;
- Once approved, the School enrolls the student into the thesis/dissertation;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering.

**Form PGR1 - Postgraduate Thesis/Dissertation Research Proposal.**

### For Bachelor Degrees with Honours:

Students must complete a postgraduate research proposal before commencing their dissertation:

- The proposal is submitted to the faculty postgraduate committee for approval;
- Once approved, the School enrolls the student into the thesis/dissertation;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering.

**Form PGR1 - Postgraduate Thesis/Dissertation Research Proposal.**

## Conditional Admission

Where an applicant does not meet normal admission requirements, the faculty may recommend conditional admission. Conditional admission applies to applicants who are admitted to postgraduate programmes, and as a condition of their admission, are required to undertake papers or demonstrate competencies. The faculty postgraduate committee<sup>1</sup> imposes these conditions and is responsible for ensuring that the conditions are satisfied. The University Postgraduate Board is informed by the faculty through the annual reporting processes when conditions are satisfied.

1 University Postgraduate Board for the Master of Philosophy.



## Notification

Applicants to postgraduate programmes (excluding the Master of Philosophy) are notified by the appropriate faculty postgraduate office or school. Any conditions of admission will be identified in the letter. Accompanying the letter will be an Offer of Place which must be signed and returned to the sender. The formal date of admission will be the date on which the faculty postgraduate committee approved the application.

## Offer of Place

If your application is successful you will receive an Offer of Place (OOP) letter. It is important to respond to this letter as Offers of Place have an expiry date.

You can accept an Offer of Place online at <http://arion.aut.ac.nz><sup>1</sup>

If you cannot accept your offer on-line; (Some International Applicants may not be able to accept online); you can sign, date and return the Offer of Place you receive via post. It is important that you return this by the specified date; otherwise you may lose your place on the programme.

If there are conditions to your admission, you will receive a letter with an Offer of Place that will state the conditions which need to be met before a formal Offer of Place can be issued.

Once you sign and return the Offer of Place you are formally accepted into a programme of study and therefore liable for the associated fees.

## Enrolment

When the Offer of Place acceptance has been received, the faculty enrolls the applicant in the appropriate paper(s). Doctoral and Master of Philosophy applicants will be enrolled by the GRS. All other students will be enrolled by their respective faculties. This will generate a fees invoice. When the fees are invoiced, a student identification card will be sent, providing access for borrowing from the Library and other University services. If fees are not paid in full, then services may be terminated.

1 This option is not available for International Applicants.





# RESEARCH SUPERVISION

- PRINCIPLES OF SUPERVISION
- GENERAL RESPONSIBILITIES
- SUPERVISION AGREEMENTS

# RESEARCH SUPERVISION

Maximising the student learning experience along with the successful completion of student research is the primary role of research supervision at AUT. The key responsibility of research supervisors is to be accessible advisors working with students to develop their capabilities as well as meeting the characteristics defined in each programme's graduate profile.

## Principles of Supervision

- Provide guidance to graduate research students in design, conduct including ethics and timely completion of their research thesis.
- Facilitate the students' academic development and integrity, quality of the thesis and administrative activities required during the students' candidature.
- Maintain a professional relationship with the student (dignity and respect)
- Facilitate the supervisory relationship to assist in developing the researcher's independence.

The University has developed the following guidelines for supervisors at bachelor's with honours, master's, and doctoral level to encourage quality supervision of postgraduate student research.

52

## Supervisory Eligibility

Academic staff are required to have appropriate qualifications, have undertaken supervision training, have demonstrated expertise in the discipline or methodology to be supervised and be active researchers.

Supervisors of doctoral degrees must normally have a doctoral degree.

Supervisors of master's and bachelor's with honours degrees must normally have a minimum of a research master's degree.

Supervisors must normally have:

- Expertise in a relevant field, discipline, or subject area and/or methodology;
- Be active researchers;
- Have supervised at the qualification level to completion.

Additionally, in order to maintain competency, academic staff need to:

- Continue with their own research activity;
- Produce one peer reviewed paper, or equivalent, per year, as evidence of continuing scholarship;
- Maintain currency in supervision practice by attending at least one Supervision Workshops on a biennial basis.

In order to commence supervision of postgraduate student research, staff must complete the mandatory workshop “Being a Supervisor at AUT” which covers university policies, practices and processes around supervision.

In exceptional circumstances, experienced researchers and supervisors may be appointed as a supervisor without meeting the normal requirements. A case would need to be made on an individual basis for such exceptions and be agreed to by the Faculty postgraduate committee and ratified by the University Postgraduate Board.

Where supervisors do not meet the requirement to have the experience of supervising a thesis to completion, an approved mentor should be appointed to guide them through the supervision process.

An official register is kept of all supervisors, including details of workshops attended. Those who do not attend the necessary workshops within the required timeframes will have their eligibility to supervise reviewed by their Faculty in conjunction with the Graduate Research School, which may result in no new supervisions.

## Supervisory Mentors

A supervisory mentor is allocated to a supervisor/supervisory team for the mentoring of the supervisor(s) rather than the student. A mentor may also be appointed as one of the supervisors.

53

The supervisory mentor is approved by the Faculty at the time of development of the admission proposal.

A supervisory mentor is appointed for overseeing, discussing and signing off on the:

- Admission – Application and Research Proposal;
- Supervision agreement;
- Progress reports;
- Full research proposal (PGR9) for confirmation of doctoral candidature;
- Appointment of examiners;
- Submission and readiness of the research to be lodged for examination (PGR12);
- Revisions or amendments (major or minor) to the thesis.

### Mentor Eligibility

In order to eligible to be a mentor a staff member is required to:

- Have supervised a doctoral student to successful completion and/or provide evidence of considerable experience as a successful supervisor;
- Be familiar and compliant with the processes involved in ensuring a successful completion at AUT;
- Be broadly working in the area of the research;
- Have recent evidence of national and international recognition through publications, exhibition, peer-esteem, professional contribution or their equivalent;

If not appointed as a supervisor, the mentor must meet with the supervisory team on a regular basis to ensure that supervision is being conducted within these guidelines. The mentoring can be through either an individual or group process. Mentors are expected to provide opportunities for reflection and open communication regarding supervision issues and will observe part of the supervision process in order to give feedback to the supervisor(s).

Supervisor(s) may be informally assisted by other members of the University staff and may refer the student for advice to any appropriate specialist within or outside the University. A mentor can report on difficulties that arise for either the student or supervisor/s at any time during and supervisory process. This can be via the Associate Dean (Postgraduate) in the first instance, followed by the GRS. The mentor can initiate discussion of any other issues that may arise during supervision which may require expert guidance.

When a mentor is appointed, the GRS will write to the supervisory team, outlining the various expectations of the mentor relationship.

## Researcher Development

The Researcher Development team runs a professional development programme for supervisors of postgraduate research through the Graduate Research School. The purpose of the Supervision Workshop Series is to support the increase in supervisor capability and capacity and strengthen AUT's supervisory community of practice. The workshops provide the opportunity to learn, share and discuss, while networking with research supervisors in other areas of expertise and with peers across all Faculties. More than 50 workshops are offered each year, covering an array of topics. Online resources for supervisors are also available on AUTi. The link to the schedule is:

<https://auti.aut.ac.nz/resch/postgradresearch/Pages/Supervisor-Workshops.aspx>

## Supervision Practice

Research for a doctoral thesis requires a minimum of two supervisors.

Research for a master's and bachelor's with honours thesis/dissertation/research projects normally requires one supervisor. Where the research is practice-focused, two supervisors will normally be appointed.

## Supervisor Location

Normally, all supervisors will be appointed from the School where the student is registered. Normally, a primary supervisor from a different Faculty will not be permitted. Secondary supervisors can be from the same Faculty, a different Faculty or external to the university.

Where a secondary supervisor is from a different school or Faculty, their Head of School should also sign the PGR1/PGR2/PGR9 or change of supervisor requests

(PGR7) in order to ensure that supervisory resource is available.

## External Supervisors

Where external supervisors are appointed, it is the responsibility of Associate Deans (Postgraduate) to ensure that the Graduate Research School (GRS) are advised of the supervisor details to enable access to supervision workshops and that external supervisors are familiar with the University and programme regulations and expectations for thesis/dissertation supervision. An information package for supervision at AUT will be sent to these supervisors by the GRS. Normally, an external supervisor will only supervise a maximum of two AUT students. Details of external supervisors should be included on the appropriate form when they are appointed.

An external supervisor is required to seek approval from their line manager to undertake the external supervision with AUT. This approval is collected and stored by the student's faculty. If the external supervisor does not have a direct line manager, or manages their own workload (i.e. is an independent contractor), an email detailing this is sufficient. Where an external supervisor's line manager does not approve of the appointment, the external supervisor will not be appointed.

### Adjunct Staff

Adjunct staff who are appointed as supervisors will be treated as external supervisors.

### Supervisor Register

The GRS maintains a register of all supervisors. The Supervisor Register records supervisors' workshop attendance; levels of prior supervisory experience; 'leading researcher' status; and primary supervision eligibility; and continued eligibility. The Supervisor Register is consulted when supervisors are first appointed to a student.

## Supervisor/Mentor Absence and Sabbatical Leave

If a supervisor or mentor supervisor is unavailable for an extended period because of illness, leave or other reasons, the second supervisor (if one is appointed) would normally oversee the student's progress. If there is no second supervisor, then another appropriately qualified supervisor will be appointed, or the student should be advised in writing by their supervisor how the student can contact them. New supervisions should not be undertaken just prior to, or when the supervisor is going on sabbatical. This must be part of the sabbatical/study leave proposal and approval process. Sabbatical arrangements that impinge on supervision should be communicated in writing from the HOS/Dean of the Faculty to the Associate Dean (Postgraduate) and be approved through the appropriate Faculty postgraduate committee.

## General Responsibilities of Supervisors

Supervisors organise regular contact with students (a minimum of once a month) for formal discussions, constructive evaluation and feedback in relation to satisfactory progress. The type and amount of contact between supervisors and students may vary,

depending on the developing experience and expertise of the student, the nature of the study being undertaken, and the amount of practical work involved. This and other requirements are best identified in the Research Supervision Agreement (see page 58), which must be completed with all students and supervisors.

### **Supervisors:**

- Assist students with the development of the research proposal and submission to Faculty postgraduate committees for approval and submission to the University Postgraduate Board for doctoral and Master of Philosophy proposals;
- Assist students in planning an appropriate course of collateral reading, suggesting relevant background reading and giving advice on the literature review;
- Advise students of the aims, scope and presentation of the thesis/dissertation, monitoring and discussing progress throughout candidature and commenting critically on the final draft;
- Guide and challenge the student's development as a researcher, thesis writer and critic;
- Provide guidance on the theoretical frameworks, models, methodology, methods and standards of research;
- Submit applications to the University's Ethics Committee (AUTEC) or other ethics approval body as appropriate through working with the student and ensuring that the student understands the principles and procedures of the relevant ethics committee, and that research projects are of an acceptable ethical standard. It is important to note that the application is in the name of the supervisor;
- Encourage students to practice dissemination of research results, for example, presenting seminars, submitting articles for publication, presenting work at exhibitions, submitting work for peer and/or public review.

### **Administrative Responsibilities**

The primary supervisor must be an AUT academic staff member and will have overall responsibility for the administrative welfare of students and the coordination and guidance involved in academic supervision. However, all supervisors will:

- Be familiar with the University regulations governing postgraduate programmes and being responsible for drawing the attention of the student to relevant aspects of the regulations and ensure they report as required to the relevant Faculty postgraduate committee and/or the University Postgraduate Board on prescribed matters;
- Notify the Faculty postgraduate committee of recommendations for appointment of additional supervisors or changes to the supervisory team;
- Nominate examiners;
- Ensure students format their work appropriate to the formats undertaken;
- Discuss intellectual property issues with the student and assess the commercial potential of the research;



- Sign the lodgement form to accompany the thesis/dissertation for examination, testifying that requirements for the thesis/dissertation meet the standards and requirements for examination. These include appropriate format of the work as stated in the Postgraduate Handbook, signing the attestation statement of own work, checking all appendices and forms (e.g. Ethics) are included and that all work has been completed to the satisfaction of the supervisor/s and declared ready for examination.

### **Managing Student Progress**

As part of the academic supervision of a student's progress, supervisors:

- Give guidance on necessary completion dates of successive stages of the work so that the whole may be submitted within the scheduled time;
- Assist students with recording, planning and reviewing progress between meetings, and negotiating goals for the next period;
- Monitor progress of students and providing feedback on written work with constructive criticism within a reasonable time;
- Advise a student of any inadequate progress or work below the standard that is generally expected;
- Advise students about University resources available to them so they make full and proper use of appropriate data sources and resources to assist their research development;
- Meet with/contact the student a minimum of once every month.

### **Student Responsibilities**

It is important to note that students are responsible for their own development and that part of the process of undertaking postgraduate research is that they become independent researchers. Student responsibilities include:

- Selecting, negotiating and refining a research proposal in consultation with their supervisor(s);
- Working with the supervisors to obtain approval from the University Ethics Committee and/or other ethical approval as appropriate;
- Discussing with the supervisor(s) the type of guidance and comment they find most helpful and agreeing on a schedule of meetings;
- Completing a supervision agreement in consultation with the supervisor(s);
- Maintaining contact as agreed with the supervisors (at least once every month), attending meetings and seminars scheduled by the supervisors, and others that contribute to the completion of the research and production of the thesis/dissertation;
- Responding to arrangements proposed for supervision and the advice and instruction given by the supervisor(s);
- Maintaining the progress of research, especially written work, to meet the stages

and timeframe agreed with the supervisor, to facilitate feedback before the next stage;

- Taking the initiative in raising problems and difficulties, however elementary they may seem;
- Timely progress reports on their work;
- Providing peer support and feedback to other students as appropriate.

### **Responsibilities of the Associate Dean (Postgraduate)**

The Associate Deans (Postgraduate) or delegated academic authority have responsibility for the academic and administrative welfare of all enrolled research students through:

- The approval of a student's proposal (PGR1 or PGR2 or PGR9);
- Overseeing of all academic supervision;
- Monitoring progress of students undertaking theses or dissertations through the review of regular progress reports;
- Submitting research proposals and recommendations for the appointment of supervisors to the faculty postgraduate committee;
- Monitoring reports on student progress toward completion of research;
- Submitting thesis/dissertation examiners for approval to the relevant Postgraduate Committee within the faculty;
- Ensuring students supply copies of theses or dissertations as appropriate for examination and graduation;
- Signing, after the supervisors have signed the work is ready for examination, the lodgement form for the thesis/dissertation to be submitted for examination, thereby stating that the requirements for the thesis/dissertation have been met.

## **Supervision Agreements**

In order to facilitate the supervision process, a template is provided which forms the basis of an agreement between the student and the supervisor. This must be completed by all students in consultation with the supervisors and includes spaces for supervisors and student to record their joint understanding. It is expected that students and supervisors will complete such a research supervision agreement and provide evidence of doing so when the research proposal is submitted for approval (i.e. PGR1 for master's and honours degrees, PGR9s for all doctorates). Without this evidence the proposal will not be approved. During candidature this agreement can be re-negotiated by all parties. Copies are available on the AUT website:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

## Doctoral Research Supervision Agreement

This pro-forma agreement document is provided for discussion between a doctoral studies students and supervisor(s) with the intention of facilitating a collaborative, transparent process designed to ensure the successful completion of a scholarly thesis in which the student makes an original contribution to knowledge.

The pro-forma may be amended by mutual agreement of student and supervisor(s) according to specific department/faculty requirements. The agreement should not be considered a legal contract.

In signing this agreement, students and supervisors are stating:

- That they have read the Regulations Governing Doctoral Degrees and the Postgraduate Handbook;
- That they understand the requirements of a doctoral thesis;
- That if disputes or difficulties arise during the course of supervision (and supervisors cannot resolve these issues) then students can approach the faculty postgraduate office, Associate Dean (Postgraduate), Dean of Graduate Research School or any member of the University Postgraduate Board in order to seek a satisfactory resolution.

### Students

Students may assume:

- That they will receive regular supervision by a supervisory team with the requisite knowledge and expertise in their chosen field of study;
- That supervisors will provide regular and timely comment on any work submitted during the course of the doctoral programme;
- That they will have access to resources commensurate with the research project being undertaken.

### Supervisors

Supervisors may assume:

- That the student will meet with them on a regular basis;
- That students will draw on their supervisors' expertise and advice as appropriate;
- That the students will provide supervisors with copies of papers/drafts/reports for comment during the course of the doctoral programme;
- That they will be supported by the school/department/center in which they are located so that they exercise their responsibilities as supervisors of the doctoral programme.

### Minimum Requirements

In accepting these requirements, students and supervisors agree to:

- Meet or make contact on a regular basis (e.g. every 4 weeks) to discuss the students doctoral programme and review progress;

- Submit 6-monthly reports that record the student's progress and any issues that need to be brought to the attention of the faculty postgraduate committee and/or University Postgraduate Board;
- Ensure that University requirements with respect to ethical approvals, intellectual property, adjournments and extensions are dealt with in accordance with the regulations in this handbook;
- Accept additional requirements as specified by the University Postgraduate Board.

Headings and prompts for consideration, and possible agreement, in more detail below.

The headings are based on an assumption that there are some basic issues that underpin effective doctoral study, discussion of which will lay the foundations for a good working relationship. They are provided so that mutual understanding may be reached over fundamental (and often mistakenly assumed) beliefs and expectations. Different aspects may need to be renegotiated during the period of the study programme.

### **Sample Doctoral Supervision Agreement**

The undersigned agree that they have read and are utilising the Postgraduate Handbook for assistance in working through issues that are likely to arise in the course of a postgraduate programme undertaken by:

[Student ID and full student name] and [full supervisor name] have come to the following understandings:

#### **Thesis/Dissertation**

University Postgraduate Board guidelines and mutual expectations / possible: structure / research model / length / referencing conventions / publication issues: parts that could be published as papers, appropriate conferences.

#### **Meetings**

Frequency and duration / access to supervisor outside scheduled meeting times / responsibility to schedule meetings, if not scheduled regularly / protocol for missed meetings / responsibility for noting decisions taken.

#### **Advice and Support**

Initial research proposal / ethics requirements / feedback arrangements / knowledge needed (e.g. academic writing, of the literature, data storage and retrieval, statistical measurement) / sources of funding / supervisor resources and support / access to sources of funds / personal circumstances affecting progress.

#### **Time Frame**

Length of different stages, realistic completion date.

## **Supervisors**

Roles of main and secondary supervisors, inputs and feedback / resolution of disagreements between supervisors.

## **Faculty Resources for Support**

Useful documents, URLs / study places / lockers / pigeon holes / paid work (e.g. tutoring) / email access / internet access / library facilities and interloan funding / scholarships or other funding or research grants –how to make applications, deadlines, contacts / technical support services / secretarial support services.

## **Faculty Expectations**

Seminar presentation of work in progress / small group meetings to discuss progress/ other.

## **AUT Expectations and Requirements**

Documents available on postgraduate and doctoral study / protocols for assessment of the dissertation / protocols for extension and deferment / for normal or unsatisfactory progress / ethics approval and deadlines.

## **Intellectual Property**

Ownership of intellectual property / student's rights & responsibilities / agreements with third parties / commercial potential of the research– see page 84 – Intellectual Property Rights.

61

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## **Postgraduate Supervision Agreement for Master's and Bachelor's Degrees with Honours**

### **Guidelines for Discussion**

These guidelines are designed to be used in an early discussion between supervisor and postgraduate student. They are based on an assumption that there are some basic issues which underpin effective supervision. Discussion of these issues will lay the foundations for a good working relationship. Different aspects may need to be renegotiated during the process.

### **Introduction**

In preparing these guidelines it is envisaged that both student and supervisor would respond to the issues below. One of the main objectives of this process is to share understanding so that there is agreement over fundamental (and often mistakenly assumed) beliefs and expectations. We suggest a copy of the completed document is made for each party.

We have put personal issues first because they are most immediate to the supervision process and then listed faculty and AUT issues that are also relevant.

**Note:** *If there are two or more supervisors, we suggest that this document be negotiated amongst all parties at an initial meeting.*

## Supervisor/Student Understandings

What is a Thesis/Dissertation? Issues to discuss might include:

- What do “thesis” and “dissertation” mean?
- What form should a thesis/dissertation proposal have in this discipline?
- What is the appropriate structure of the written part of a thesis/dissertation for this topic?
- What paradigm/model of research will be used?
- What is the appropriate length?
- What referencing conventions should I follow?
- Some titles of good thesis/dissertation examples in this field;
- What is meant by “originality” or “advanced knowledge” or “new knowledge” or “new theory”?
- Who owns papers arising during and after thesis/dissertation supervision?
- In what publications could parts of the thesis/dissertation be published as papers and how authorship will be determined?
- What conferences could be attended to present parts of the thesis/dissertation or the completed thesis/dissertation?

62

## Meetings

Issues to discuss might include:

- Frequency and duration of meetings;
- Access to supervisor outside scheduled meeting times;
- Who has responsibility to initiate meetings (if not scheduled regularly)?
- Protocol for when one person can't make the meeting;
- Should meeting decisions be noted? By whom?

## Advice and Support

Issues to discuss might include:

- Development of the research proposals (initial proposal, ethics proposal): how much input from supervisor, how will this proceed?
- Expectations of feedback: how much, how often, in what form, with how much notice?
- Support with theoretical content, e.g. resources, contacts: how much can be expected, given the supervisor's knowledge of the area?
- What other kinds of knowledge are needed, e.g. of the research process, of academic writing, of the literature, of data storage and retrieval, of statistical treatment etc.?
- What resources does the supervisor know of; how much help can she/he give?

- Are there sources of funding for this research? If so, how can they be accessed?
- Are there relevant personal circumstances that might make the supervision or completion of the Thesis/Dissertation difficult, e.g. student suffering financial hardship or experiencing relationship difficulties or supervisor going on sabbatical, expecting a baby etc?

### **Time Frame**

Issues to discuss might include:

- How long should the different stages take to complete?
- What would be a realistic completion date in view of our separate commitments and AUT policy?

### **Joint Supervisors (for thesis students)**

- What roles will be taken by each supervisor (main and secondary), what inputs will each have and what kind of feedback will each have?
- If there is disagreement about methods, content etc., between joint supervisors, how is this to be resolved?
- Other issues relating to supervisor/student understanding?

### **Faculty Expectations & Resources**

- Written information;
- What documents are relevant for postgraduate students?
- What web URLs are useful?

### **What access does the student have to:**

- A study place, pigeon-hole, locker, etc?
- Tea/coffee facilities?
- Paid work, e.g. tutoring?
- Computer, data storage, email, internet access, interloans?
- Funding/research grants/scholarships?
- If available how do I apply? When are the deadlines? Who can I contact for more information?
- Support services, e.g. technical, secretarial, library?

### **What expectations does the faculty have of the student?**

- Seminar presentation of thesis/dissertation in progress?
- Small group meetings to discuss progress?
- What else?

## **Monitoring Supervision, Resolving Conflict**

What are the faculty procedures for monitoring the supervision in the event that one of us is not happy with its progress? For replacement of supervisor? For establishing a time commitment by the student (e.g. hours per week, weeks per year, etc).

## **Other Faculty Issues?**

### **AUT Requirements**

AUT guidelines/regulations.

- What documents are available on postgraduate supervision?
- What web URLs are useful?

### **Clarification of Thesis/Dissertation Assessment**

- How is the assessment of the thesis/dissertation or dissertation conducted?
- Who will be the examiners? When is this decided? Can I have a say?
- What is the difference between a thesis/dissertation that passes and one that is awarded with honours?
- How does the thesis/dissertation grade contribute to the overall pass/honours for the qualification?

64

### **Extensions and Deferment**

- What are the protocols for extensions and deferment?
- In the event that I need an extension over the summer, or beyond, what will the position be regarding supervision? Will there be an extra cost?

### **AUT Protocols**

- What AUT-wide channels are available in the event that one of us is not happy with the progress of the supervision and the faculty cannot or is inappropriate to resolve this?

### **Ethics**

- What ethical issues need to be considered in the research project?
- Do I need to apply for approval from the AUT Ethics Committee?
- How do I apply for ethical approval? Deadlines?

### **Intellectual Property**

- Who owns the intellectual property that I produce?
- AUT's background intellectual property remains AUT's;
- Who will be the beneficiary(ies) of the income that is generated if the research is commercialised? How will the proportions be decided?
- This discussion should be mediated by AUT Ventures Ltd, AUT's commercialisation office;



- Are there any documents outlining my rights and responsibilities with respect to the University and any third parties?
- What publications might be planned?
- How will authorship be managed?
- Seek permission before use of AUT brand;
- Have a mediation process in place if any conflict arises. See page 85 – Intellectual Property Rights.

**Other AUT-wide Issues?**

**Example Template of Meeting Schedule**

Schedule of first three meetings			
Date	Time	Place	Supervisor(s) present with candidate





# PROGRESSION

- CONFIRMATION OF CANDIDATURE
- PROGRESS REPORTS
- VARIATIONS OF RECORDS
- CHANGE OF SUPERVISORS
- ETHICS
- RESOLUTION OF PROBLEMS

# PROGRESSION THROUGH THE DEGREE

## Vulnerable Children's Act (2014)

The Vulnerable Children's Act (2014) was amended in July 2015. The legislation requires a safety audit for everyone working with children, including students on practicum. Students who have sustained contact with a child or children e.g. overnight, will need to meet the requirements of the Vulnerable Children's Act.

A student requiring sustained contact with a child or children will need to contact their primary supervisor and Faculty Associate Dean (Postgraduate) for advice on undertaking the appropriate checks.

## Research Timeframes

Normal timeframes for a qualification should be read in conjunction with the individual programme regulations. The timeframes for undertaking the research component of a degree are:

Timeframes	Minimum	Normal	Maximum
<b>360 Point Thesis</b>			
	3 Years	4 Years	6 Years
<b>240 Point Thesis</b>			
	2 Years	3 Years	4 Years
<b>120 Point Thesis</b>			
Full-time	1 Year	1 Year	1 Year
Part-time	2 Years	2 Years	3 Years
<b>90 Point Research Paper</b>			
Full-time		1 Year	*
Part-time		2 Years	*
<b>60 Point Research Paper</b>			
Full-time		6 Months	*
Part-time		1 Year	*
<b>30/40/45 Point Research Paper</b>			
Full-time		6 Months	*
Part-time		1 Year	*

\* For maximum timeframes please refer to the programme regulations in the Academic Calendar.

**Note:**

- *Students who require longer than the normal timeframes must apply for an extension (see page 75).*
- *Students who exceed the maximum timeframe may not have their qualification conferred. It is strongly recommended to complete within the normal timeframe. Extensions to the normal timeframe may be considered in exceptional circumstances and on application to the Faculty Postgraduate Committee (University Postgraduate Board for Master of Philosophy and Doctoral Programmes).*

**Doctoral Timeframes**

Normally, PhD students are expected to complete within four years and professional doctorate students are expected to complete the thesis component within three years. The minimum timeframe for completion is three years, and the maximum timeframe for completion is normally six years. Extensions would need to be applied for after the end of the fourth year for PhD students and at the end of the third year in the thesis for professional doctorates (see page 75).

**Master's and Bachelor with Honours Timeframes**

Normally, Masters 120 point theses are expected to complete within one year full-time and two years part-time. 45/60/90 point theses/dissertations/exegeses are expected to complete in 6 months full-time, or one year part-time. Extensions would need to be applied for if a student cannot complete the thesis/dissertation/exegesis within the normal timeframe (see page 76).

**Confirmation of Candidature (Doctoral students only)****Form PGR9 – Confirmation of Candidature****Note:**

- *Faculties may submit students work through turn-it-in as part of the approval process.*
- *In certain circumstances, reviews of a Confirmation of Candidature document may be requested as confidential, however, this provision will involve prior approval from the Associate Dean (Postgraduate). The PGR9 reviewers will need to sign a confidentiality agreement prior to undertaking the review.*

In order to transition from provisional to full candidature, doctoral students prepare and have approved a detailed research proposal (PGR9).

The transition from provisional admission to full registration (confirmation of candidature) normally occurs no later than 12 months after commencement in the doctoral programme. The student should aim to commence the PGR9 – confirmation of candidature review process after 9 months of provisional admission to the doctoral programme with a view to submit the completed PGR9 to the University Postgraduate

Board within 12 months of provisional admission.

Students for a professional doctorate will normally submit a full research proposal (PGR9) within 1–2 months of completing the coursework component.

### **Unsatisfactory Progress and Withdrawal**

Students who have not submitted their PGR9 within the timeframes, noted above, will be sent a letter by the faculty reiterating the timeframes and stating an expectation that it be completed within six months.

If the PGR9 is not submitted within this period then the unsatisfactory progress process will be initiated (see page 79), giving students a further six months. Should the PGR9 not be submitted at this stage the student will be withdrawn from the programme.

### **PGR9 Content**

Your research proposal includes the following content:

- A summary of the research proposal;
- Proposed thesis title;
- Clearly stated thesis question(s);
- Rationale and significance of the study;
- Research aim and objectives;
- Literature and/or past research review;
- An outline of the research design;
- Ethical approval (if required). If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the proposed research with the AUTEC Secretariat. See page 88 for ethical requirements, including when collecting data overseas;
- A planned budget for your research and how this will be funded;
- An indication of where the research will be conducted;
- Progress and activity to date;
- A timetable for completion;
- Publications and Presentations;
- References.

**Note:** *for further details on ethics requirements, and the consequences of not obtaining appropriate ethical approval can be found on page 87.*

Guidelines on the expected content and format can be found on the PGR9 form.

Students who have a creative component to their doctoral examination should ensure that they consider appropriate budget expenses for their exhibition.

If you are completing your thesis in Te Reo then a summary (in English) of the PGR9 must also be supplied.

The summary is a brief outline (250–500 words) of the entire proposal. It must accurately reflect the content of the proposal. It is normally one paragraph (maybe two), is concise and summarises the entire proposal, therefore it must include the:

- Research question/problem;
- Theoretical framework;
- Research design;
- Sampling method;
- Data collection methods;
- Data analysis;
- Potential significance and/or benefits.

### **PGR9 Review and Presentation**

The PGR9 will be subject to a Faculty academic review process and the student will be required to present their PGR9 at a Faculty forum and will be provided with feedback from a minimum of 2 reviewers, one of which will be a content expert. The presentation should be between 40–60 minutes. The student will have the opportunity to receive and comment on the feedback, and where appropriate, incorporate it into a revised PGR9.

The Faculty PGR9 review has a set of assessment criteria that are required to be met in order for the PGR9 to be approved. These criteria can be assessed as being met, not met or subject to amendments. Normally, a student will not be able to submit their PGR9 for approval more than twice to the relevant Faculty Postgraduate Board/Committee.

Where the reviewer deems that none of the criteria have been addressed satisfactorily then the faculty may state that no further submission are required and the PGR9 will not be approved and the student withdrawn from the doctoral programme.

### **PGR9 approval**

PGR9s approved by the reviewers should then be signed by the supervisors and forwarded to the Faculty Postgraduate Committee (not a school committee) who approves it under delegated authority. Once approved, the PGR9 is forwarded to the University Postgraduate Board for formal confirmation. Students are notified by the Graduate Research School (GRS) of the outcome.

The Faculty Postgraduate Committee sends recommendations to the University Postgraduate Board which can:

1. Confirm candidature or;
2. Approve continued provisional admission for an agreed period of time or;
3. Discontinues candidature and is transferred to another programme if available or;
4. Terminates candidature.

Where a recommendation is made under the termination/discontinuation (clause 3/4 above) the recommendation to the University Postgraduate Board will include any conditions that were not met. Candidature registration will be terminated if the conditions have not been fulfilled to the satisfaction of the University Postgraduate Board.

### **Ethical Approval**

Students may begin their ethics application at any time but normally may not collect data until their PGR9 and ethics application have both been approved. Students are recommended to develop both their ethics application and PGR9 at the same time. It is incumbent on the student and supervisors to ensure that any requirements for ethical approval are met prior to the commencement of the data gathering, if applicable. A copy of the ethics approval letter should be appended to the PGR9 application if data gathering has already commenced. For more information on ethical requirements see page 87.

### **Business Cards**

Doctoral students who have had their candidature confirmed may normally be eligible to hold an AUT business card. This will be facilitated by the GRS.

### **Data Collection**

Normally, the main data collection should not commence prior to confirmation of candidature unless a pilot study is required for PGR9 completion. If participants are required for the pilot study then ethical approval must be obtained and included in the PGR9 documentation.

If collection of data prior to confirmation is required, for the purposes of completing a pilot study that pertains to the student's research topic, this needs to be outlined in the students' PGR2 Research proposal and approved during the admission to the doctoral programme process.

## **Student Progress Reports**

### **Form PGR8 - Progress Report**

Progress reports are vital to the University's overall monitoring of both individual progress and programme issues. All research students, in consultation with their supervisors, are required to supply six monthly reports which reflect the progress of their work. These should also identify any issues that have arisen and how they are going to be resolved.

### **Progress Report Timeframes**

The table, below, indicates when progress reports for doctoral and MPhil students are to be submitted to Faculty Postgraduate Offices. Progress reports are required to be submitted to the University Postgraduate Board the following month for students in the MPhil and doctoral programmes.



Faculty	First progress report due	Second progress report due
Culture & Society	February	August
Design & Creative Technologies	March	September
Health & Environmental Sciences	April	October
Te Ara Poutama	May	November

All other students, and doctoral students within the Faculty of Business, Economics and Law, including all Master's and Bachelor with Honours research students submit their reports six-monthly from the anniversary of their enrolment start date, or, as requested by their faculty.

### **Doctoral students please note:**

The PGR9, submitted before the end of the first year for doctoral students, replaces the need for a progress report at that time. If the PGR9 is delayed, then a report will be required the following month.

### **Completing the Progress Reports**

Note for students following Format 2 (manuscript format):

As the core requirement for a Format 2 thesis is that the student submits a minimum of two manuscripts to peer-reviewed journals (see page 101). Format 2 students are advised to include in their PGR8 a timeline for the planned submission of manuscripts (including proposed titles, publication outlets, and timing of submission), and a report on progress against this timeline. This will assist the Faculty Postgraduate Committee in monitoring the progress of Format 2 students to completion.

Once a student has completed their section of the report, the supervisor(s) will complete their section on the form and make full comment on progress. If there are issues around progress, the supervisor should be explicit in any misgivings they have regarding a student's progress. Comments must be discussed with the student and a copy made available for them. Supervisor(s) are also required to indicate any remedial action to be taken if required.

The primary supervisor (and mentor for the primary supervisor where applicable) and student will sign the relevant section of the form. The primary supervisor will sign the PGR8 form on behalf of the supervisory team subsequent to consultation with the full supervisory team. The primary supervisor will also ensure, if there are any problems, that the student's progress has been appropriately discussed with the Associate Dean (Postgraduate) or their equivalent, prior to submitting reports to the Faculty Postgraduate Committee. Doctoral and Master of Philosophy progress reports are received by the faculty postgraduate committee and are then forwarded to the Graduate Research School who monitor and report any problems identified to the University Postgraduate Board.

**Note:**

- *Doctoral students who commence within three months of a PGR8 date are not expected to submit until the next round.*
- *Students are required to include a timetable for provision of these reports as part of the student/supervision agreement.*

It is important to note that progress reports should not be the first point at which a supervisor and student identify there is a problem. Issues are expected to be discussed regularly as part of the supervision relationship. If problems do arise, both parties are expected to take active steps to rectify them within the faculty in the first instance. The reports provide the means by which the University is apprised of any problems and the steps taken to rectify them. Failure to do so could be disadvantageous to both students and staff.

Students may seek advice in confidence from the Associate Dean (Postgraduate) on any aspect of their candidature, including problems. Advice can also be sought from the Dean of Graduate Research School. The Dean provides an independent and confidential point of contact for students and/or supervisors.

## Variations to Candidature

**Note:** *Applies to research enrolments*

Students are able to apply for the following variations to the record of candidature by completing a:

- Deferment of Enrolment;
- Mode of Study (full-time/part-time) (Not applicable to doctoral students);
- Extension;
- Leave of Absence;
- Withdrawal;
- Change of Faculty.

### Deferment of Enrolment

**Form:** PGR6- Variation of Record

Doctoral applicants may, with the approval of their supervisors, apply for a deferment of commencement of their research. A deferment is not required if the applicant can commence their studies within 6 months of their admission to the programme. Applicants may apply for a deferral of up to 6 months (12 months in total from the admission date). The applicant should submit the PGR6 form to the appropriate faculty or school to notify of their intention to defer.

Master's and Bachelor with Honours students should indicate on their PGR1 their intended start date and should discuss deferrals with their Faculty Postgraduate Research Office or school administrator.

If the candidature is not reactivated within the approved timeframe, then the applicant must re-apply for admission.

## Mode of Study (Not Applicable to Doctoral Students)

**Form:** PGR6- Variation of Record

Master's and Bachelor with Honours students may study full-time or part-time. Note: the Bachelor of Art & Design Honours is only offered as a full-time programme. Change to mode of study will require approval from the faculty postgraduate committee. Students should contact their respective school postgraduate administrator in the first instance.

Changes to mode of study will normally only be permitted at the end of the current period of enrolment unless the current enrolment would normally be considered the completion of the course.

International students are not permitted under the terms of their visas to study part-time.

## Extensions

**Form:** PGR6- Variation of Record

**Note:** *Extensions will only be considered retrospectively under exceptional circumstances.*

Once an extension is granted, the student is enrolled in to an extension paper and will be expected to pay the normal tuition fees pro rata.

## Doctoral Student Extensions

Normally, PhD students are expected to complete within four years and professional doctorate students are expected to complete the thesis component within three years. The minimum timeframe for completion is normally three years, and the maximum timeframe for completion is normally six years.

Students must apply to the University Postgraduate Board for an extension, gaining prior approval by the faculty postgraduate committee. Students should apply in advance through their supervisor and faculty postgraduate committee on Form PGR6 to the Graduate Research School (GRS). If not recently received, students are expected to submit a progress report with their request for an extension, along with a proposed timeframe for completion. The University Postgraduate Board may require the submission of more frequent progress reports as a means of monitoring progression.

Students will still be re-enrolled and be required to pay the normal tuition fees for all extensions.

## Doctoral Unsatisfactory Progress

If a student exceeds the 6-year timeframe and still required further time to complete the thesis the students' progress will be deemed unsatisfactory and the Unsatisfactory Progress process will be initiated by the faculty. The student will be required to submit evidence of progress to date and a project timeline with a clearly stated date for submission of the thesis. The progress evidence needs to be a detailed outline of what has been completed to date, along with a detailed timeline to completion. Progress

reports may be requested by the faculty on a monthly or two monthly basis.

### **Doctor of Philosophy**

All students in the PhD programme will be required to request an extension before the end of their fourth year if they cannot complete the thesis within the normal timeframe. If a PhD student has not completed by the end of the fifth year, faculties will need to provide justification/evidence and timelines to justify continuation. Continued enrolment in the PhD programme past this period will only be considered on receipt of an extension request on a six-monthly basis. A letter of support/justification from the supervisor will be required for every extension after a student's fourth year of enrolment.

### **Professional Doctorates**

All students in professional doctorates will be required to request an extension at the end of their third year (of the thesis component). Continued enrolment in the programme past this period will only be considered on receipt of an extension request on a six-monthly basis. A letter of support/justification from the supervisor will be required.

## **Master's and Bachelor with Honours Student Extensions**

If a student cannot complete the thesis/dissertation/exegesis within the normal timeframe, they may apply to the faculty postgraduate committee for an extension.<sup>1</sup> Such applications are considered on their merits, but in general an extension is normally granted only when the writing of the research is near completion and where there is certainty that the thesis can be completed if more time is allocated. Normally only one extension, regardless of its duration is permitted. The normal timeframe for an extension is two months, but may be extended to a maximum time of six months, for exceptional circumstances. Students should apply in advance through their supervisor on a PGR6 form.

Where an extension is required for a duration of up to six months for full-time students or three to twelve months for part-time students, then the faculty will approve the extension. The student will be enrolled in a funded extension and be expected to pay the normal fees. Where further extensions are required, approval will need to be obtained from the University Postgraduate Board.

## **Leave of Absence from Candidature**

**Form:** PGR6- Variation of Record

### **Note:**

- *Leave of absence requests will only be considered retrospectively under exceptional circumstances.*
- *International students should consult with International Student Support regarding visa conditions when applying for a Leave of Absence*
- *Scholarship students should consult with the Scholarships Office prior to*

<sup>1</sup> Applications for extension by students in the MPhil programme will be approved by the UPB.

### *applying for a Leave of Absence*

A student who has been granted a leave of absence will not normally have access to AUT resources during that period and should not continue to work on their thesis.

A leave of absence is normally only granted in extenuating circumstances where a student is prevented from undertaking work on their research for an extended period due to unforeseen domestic/personal circumstances (which could include illness or financial hardship resulting in a requirement to work. International students need to be aware that due to visa requirements you may not be granted a leave of absence to gain work for financial reasons). The minimum timeframe for a leave of absence for a masters or bachelor's with honours student is two weeks, and for a doctoral student is two months, and would normally be for a period of no more than twelve months. The effect of such a leave of absence is to 'stop the clock' for the student so that they are not penalised in terms of the completion date.

A request for a leave of absence should be made in writing to the faculty postgraduate committee either by the supervisor or the student and should include a full explanation of the circumstances and evidence that during the period of absence the student would be unable to study, research or progress in any manner in the thesis/dissertation.

Students should be encouraged to discuss potential leave requests with their Faculty Associate Dean (Postgraduate).

Wherever possible students should request a leave of absence at the end of an enrolment period. However, it is recognised that this may not always be possible.

Normally, a leave of absence application will not be considered retrospectively. However, exceptional circumstances may be considered (but may not be approved). Retrospective LOA's would not normally include time taken in employment.

If circumstances are such that it cannot be anticipated when the candidature will be resumed, students should seek to withdraw from the programme after consultation with all their supervisors and re-apply when they are able to continue.

#### **Doctoral Students Please Note:**

Apart from statutory holidays (including the three week period over Christmas that the University is closed) students would normally be expected to take a maximum of three weeks leave from their study per year. This period will not 'stop the clock' on the length of candidature and students will be expected to complete within the normal timeframe. Additional time must be applied for as part of a leave of absence request using the Variation of Record form.

## **Withdrawal**

**Form: PGR6- Variation of Record**

Notification of withdrawal can be done at any time and should be made in writing to the faculty postgraduate committee after consultation with all their supervisors. The

faculty postgraduate committee will forward the notification, for doctoral and MPhil students, to the GRS who will advise the University Postgraduate Board.

Students wanting to resume at a later date will be required to re-apply for admission. Some recognition may be given for work done prior to withdrawal, but a new candidature would be commenced.

If students fail to re-enrol in any year by the required dates and do not contact the University, they will be deemed to have withdrawn from the programme and the candidature will be terminated. A new application is required with the appropriate forms and research proposals completed in conjunction with the supervisor (where appropriate) to resume under such circumstances.

A student will not normally be permitted to transfer to another university if they are close to examination. It would be expected that the examination would occur at the university of origin.

#### **Doctoral students please note:**

It is important to note that should a student withdraw after 3 complete years of study, they will receive a DNC (Did Not Complete) grade. A 'W' (Withdrawn) grade will be recorded against the academic record if they withdraw prior to this.

#### **Master's and Bachelor with Honours please note:**

It is important to note that should a student withdraw after 75% of the normal enrolment period for their research has been completed, they will receive a DNC (Did Not Complete) grade. A 'W' (Withdrawn) grade will be recorded against the academic record if they withdraw prior to this.

### **Change of Faculty (doctoral students only)**

#### **Form PGR19 - Change of Faculty**

A change of faculty is normally only granted for doctoral students who require to change the faculty in which their thesis is based. The request would normally correspond with a change in primary supervisor or change in topic that will fall in the research area of a different faculty.

A request for change of faculty (PGR19) form should be submitted to the Faculty Postgraduate Committee. This should be submitted through their supervisor to the new Faculty Postgraduate Committee.

Students are expected to have contacted the original Faculty's Associate Dean (Postgraduate) to advise them of their intent to transfer.

Doctoral students who have not yet been confirmed will need to submit a new Admission to a Doctoral Programme form (PGR2) or Confirmation of Candidature form (PGR9) with an updated topic and supervisory team and will undertake their PGR9 – Confirmation of Candidature within the new Faculty.

Doctoral students who are already confirmed and are changing their topic will need to provide the new faculty with a detailed Change in Topic form – PGR10.

## **Appointment/Change of Supervisors**

### **Form PGR7: Change of Supervisors**

Supervisors are normally appointed prior to the submission of the PGR1/PGR2. All subsequent appointments or changes to supervisors must be approved by the faculty postgraduate committee, and the University Postgraduate Board for doctoral and Master of Philosophy students.

The Associate Dean (Postgraduate) will appoint a supervisory mentor if changes to the supervisory team result in neither supervisor having the required supervisory experience for the programme being supervised.

All supervisors are expected to complete a 'Research Supervision Agreement' with the student. Please refer to the 'Principles of Supervision' on page 52.

## **Major Change to Thesis/Dissertation Topic**

### **Form PGR10: Change in Topic**

Changes to the title are permitted during the course of the research.

Changes to a thesis topic must be approved by the relevant faculty committee and University Postgraduate Board. Substantive changes to the thesis topic may result in the requirement of an additional or new research proposal (PGR2 or PGR9) for Doctoral students.

## **Unsatisfactory Progress/Termination of Enrolment**

If progress is unsatisfactory, the primary supervisor will alert the Associate Dean (Postgraduate) in writing. The Associate Dean (Postgraduate) will advise the faculty postgraduate committee and the University Postgraduate Board.

The following are criteria against which a student may be deemed to be performing unsatisfactory progress:

### **Milestones:**

Not keeping to the milestones within the timeline in relation to:

- Multiple leave of absence requests;
- Multiple extensions;
- Unsatisfactory progress reports;
- Outside of the agreed timeframe for PGR9 and/or completion (Doctoral Only);
- Progress reports submitted where supervisors record 'unsatisfactory progress' and identify the issues clearly in the comments section.

**Conditions:**

Failure to meet admission conditions, e.g. language, research methods etc.

**Thesis Progress:**

The conceptual development and writing up of the thesis is at an unsatisfactory stage.

**Exceptional Circumstances:**

- No exceptional circumstances evident.

When any one of the above is evident then, after discussion at the faculty postgraduate committee, formal warnings of unsatisfactory progress may be initiated by the faculty postgraduate committee, which will notify the student in writing that their progress in the programme has been unsatisfactory. The correspondence must specify the reason why the progress is deemed to be unsatisfactory, provide a list of conditions that must be met and offer the student an opportunity to discuss the matter with the Associate Dean (Postgraduate). The student should be given an appropriate timeframe to reply to the correspondence. A copy of the correspondence should be sent to the GRS.

If the student fails to contact the faculty, or fails to meet the specified conditions, within the specified timeframe, the Associate Dean (Postgraduate) will advise the Faculty Postgraduate Committee (University Postgraduate Board for Doctoral and MPhil students) and Faculty Dean to recommend that the enrolment be terminated and the student be deemed to have withdrawn from the programme.

The Faculty Postgraduate Office (GRS for Doctoral and MPhil students) will then notify the student, in writing, of the final outcome.

A student may appeal against the decision of the Board. Refer to the AUT Academic Calendar Part 6, Section 1.

**Confidential Material****Form PGR16 – Application for Embargo**

It is the University's intention that a postgraduate student should not normally be permitted to undertake research which is likely to result in a thesis/dissertation which cannot be available for public use or access immediately. In circumstances where research undertaken for a thesis/ dissertation may have commercial sensitivity, or where the student believes their interests, or those of the research subjects, would be at risk if the thesis/dissertation were publicly available, the student may apply for an embargo of public availability. In these circumstances the thesis/dissertation is treated as confidential and restricted to the supervisor(s), examiner(s), and GRS staff. Examiners are asked to sign a confidentiality agreement prior to being sent the material to be examined.

Recommendations for embargo of public availability are made by the student and supervisor to the appropriate faculty postgraduate committee or University Postgraduate Board. The embargo period will not normally exceed three years.



Students are strongly advised to consider issues of accessibility or availability of research data/materials, particularly those which may be restricted or confidential. This is to avoid any problems that may arise in the eventual publication of and public access to the thesis/dissertation. AUT Commercialisation can advise students and staff on issues of confidentiality and mediate with commercial partners as necessary to ensure that commercial needs for confidentiality are balanced with the academic imperatives of the research.

Strict confidentiality will only be granted where the primary supervisor can justify that there are strong reasons for this restriction, as this does limit a student's ability to publish.

Applications for total confidentiality would normally be made prior to the commencement of the research on the initial Postgraduate Research Proposal/ Admission to a Doctoral Programme form (PGR1 or PGR2) in consultation with the primary supervisor.

Where issues of confidentiality arise after approval of the research by the faculty postgraduate committee, an Application for Embargo Form (PGR16) must be submitted for approval.

The faculty postgraduate committee will set the time limits on the embargo of the thesis/dissertation.

Where approval for confidentiality has been given, the confidential material will normally be required to be provided in a separate annex to the thesis/dissertation. When completed the thesis/dissertation will be held securely by the Library. The thesis/dissertation will be released either at the end of an agreed time limit, or an earlier time, if the reasons for the confidentiality have terminated, as attested by the primary supervisor or other body to whom the guarantee of confidentiality was given.

### **Data Gathering, Storage and Retention**

Research data must be recorded in a durable and appropriately referenced form. Sound research procedures entail the discussion of data and research methods with colleagues. Discussion may also occur well after the research is complete, often because of interest following publication. Researchers are required to ensure that participant consent forms and research data are safely and separately held on AUT premises for a period of at least six years. Health information must be stored for ten years. Consent forms must be stored separately from research data.

Raw data should be retained in an appropriate secure facility. In some cases, such as when data is obtained from limited-access databases, or in a contracted project, it may not be possible to hold them in this way. In such cases, a written indication of the location of the original data, or key information regarding the limited-access database from which it was extracted, must be kept in the faculty. Individual researchers should hold copies of data for their own use. Retention solely by individual students however,

provides little protection for the student or the University in the event of any allegation of falsification of data.

## Conflict of Interest

**Note:** Refer to the *Conflict of Interest Protocol* on the AUT website.

A conflict of interest exists in any situation when a person has a financial interest, a private or personal interest, or a business interest sufficient to influence, or appear to influence, the impartial exercise of their official duties or professional judgements.

In other words, a conflict of interest exists where a staff member's duties or responsibilities to the University could be affected by some other separate interest or duty. A conflict can also relate to the potential for public resources or time to be used by a staff member to advance his or her private interests and this raises ethical considerations of integrity, honesty, openness and good faith.

It is likely that a conflict is present if you answer 'yes' to any of the questions listed below:

- Do you have any familial, close personal or financial relationship with the student?
- Do you have any familial, close personal or financial relationship with the sponsor of the project?
- Are you employed by the commercial entity that will sponsor the proposed study?
- Do you have any ownership interest in the commercial entity that will have an interest in the proposed study?
- Is the student receiving any financial support from a commercial source in the form of a scholarship or grant to carry out the work or to report the work at a conference?

In determining whether a conflict exists when appointing examiners for a thesis/dissertation, there are two questions to ask:

- Would a fair-minded reasonably informed observer have a reasonable apprehension that the examiners professional judgement would be compromised in examining the student's thesis?
- Does the interest create an incentive for the examiner to act in a way that would be contrary to the objectives of a fair, impartial and effective examination process?

If the answer to either of these questions is 'yes', then a conflict exists.

If you are uncertain about whether any relationship constitutes a conflict of interest, please contact your head of school/department or Associate Dean (Postgraduate) who will manage this on a case-by-case basis.

It is the responsibility of staff to:

- Take care that their financial, familial, personal or business relationships or interests do not unfairly disadvantage or advantage other members of staff, students, or other individuals and organisations;
- Inform their manager, as soon as reasonably possible if an actual, perceived or

potential conflict of interest arises.

It is the responsibility of the manager to:

- Take appropriate steps to resolve the situation which could include referring the case to the University Postgraduate Board.

It is the responsibility of students to:

- Report any potential or real conflict of interest to their supervisors or, when this involves their supervisor, the head of school or Associate Dean (Postgraduate).

For more information, including examples of conflict of interest:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

## Publication and Authorship

Postgraduate students are encouraged to publish and disseminate research findings. Consensus should be reached between the student and research supervisor(s) concerning authorship of publications and acknowledgement of contributions during and after candidature. It is worthwhile noting such decisions in the Research Supervision Agreement. There should be open and mutual recognition of the student's and supervisors' work arising from the research.

Supervisors also gain/benefit from postgraduate students' work. Where a supervisor draws on and wishes to build on a student-initiated subject, the supervisor must advise the student (and co-supervisors) and through consultation negotiate a fair and equitable arrangement with the student and co-supervisor. The supervisor in relevant publications must acknowledge the student and provide them with the opportunity of joint publications or research outputs.

AUT has adopted two documents as the preferred reference for staff and students seeking general assistance and guidance on authorship matters. These are the Vancouver Protocol, compiled by what evolved as the International Committee of Medical Journal Editors (ICMJE) and the Australian Code for the Responsible Conduct of Research, which was developed collaboratively by the National Health and Medical Research Council, the Australian Research Council and Universities Australia.

The Australian Code for the Responsible Conduct of Research at: <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018> and the Vancouver Protocol can be located at: <http://www.icmje.org/recommendations>

Based on these documents, AUT recommends the following principles as key in determining authorship attribution:

- Early discussion and agreement on authorship responsibilities and order;
- Signed documentation of authorship protocols and agreements;

- Subsequent review of such agreements;
- Inclusion of all authors;
- Exclusion of unacceptable claims to authorship;
- Adequate acknowledgement of other contributions;
- Inclusion of web-based publications.

## Intellectual Property

The University has an Intellectual Property (IP) Policy which applies to all staff and students. The policy includes sections on ownership and development of IP and the sharing of benefits from successful development. Programme leaders and supervisors should be familiar with the policy and its implementation. AUT Ventures Ltd is responsible for the identification and commercialisation of IP owned by the University. Where research staff and students are working with external parties on research projects AUT Ventures Ltd will work with the Research and Innovation Office to provide advice and services related on Intellectual Property issues.

Where supervisors have reason to believe that IP will arise in the course of independent research, they are responsible for discussing this with their student and liaising with AUT Ventures Ltd.

As an employer the University has rights relating to the contract of employment and claims ownership of IP created by staff in the course of duties, or created using the University's resources.

84

However, the University recognises the contribution of the creators of this IP by sharing the benefits from commercialisation. By default, the University will distribute one third of any net revenues received with the creators of the IP. Excluded from this are any course materials, or any materials specifically commissioned by the University.

The University waives its entitlement to several types of IP, such as the copyright in books, published papers, articles, films, sound recordings, artistic works, as well as in any personal material and/or notes created outside the course of duties.

Students own the copyright in their theses as well as IP which they have created by themselves using their own resources and any University resources which are attributable to their course fees, unless they have agreed otherwise. Where students are undertaking an exegesis with the creation of an artefact, the artefact remains the property of the student. Should the student wish, they may gift the artefact to the Faculty or to someone of their choosing.

In the course of a research project, where others contribute to the creation of IP (for example; fellow students, supervisors, other project participants/funding sources, additional university resources, external parties) these other parties may also have some rights to the IP. The University's IP Policy recognises this by bringing together all interested parties to reach a fair and equitable agreement on how ownership, benefits and other IP rights are to be distributed between the parties:

Where a student participates in a University Project, the University and the student will:

- a) At the student's or University's option, enter into a separate agreement that will set out their rights and entitlements;
- b) Each take steps as are reasonable in the circumstances to ensure that:
  - The academic progress of a student is not hindered by the provisions of this policy; and
  - The examination of any thesis is not affected by this policy.

Students can expect to have similar rights and responsibilities as staff under these circumstances.

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/intellectual-property>

### **Contractual Arrangements**

Where a student undertakes research with an institution or organisation outside the University, an appropriate contractual agreement is arranged between the University, outside organisation and the student. This ensures that the student's rights and responsibilities are clearly understood, that the supervisor will have access to the student and that the facilities and resources will be appropriate for the research. Any such contracts must be submitted to the Research and Innovation Office for approval before signing.

### **Academic Integrity**

The value of University's qualifications depends in part on the honesty, trustworthiness, fairness, respect, and responsibility of its students and staff. Academic integrity is a cornerstone of each student's and staff member's standing in the academic and employment community. The University is committed to maintaining its academic reputation in support of the opportunities this brings to its students, graduates and staff.

It is AUT's expectation that postgraduate students, because of their maturity and experience, will be particularly capable of behaving with academic integrity in their studies, research and their engagement with our communities.

At the heart of behaving with academic integrity is a commitment to absolute honesty in submitting one's own work for assessment. This includes acknowledging all material sources and people who have contributed to the work through their ideas, interpretations and expressions and through rigorous and ethical approaches to data collection and reporting. This is expected in all work submitted for assessment and has a very particular relevance to dissertations and theses which are a student's major work for their qualification.

The University provides learning materials through the Library website to support students in their understanding of academic integrity. Advice and guidance is available through your academic supervisor or Associate Dean (Postgraduate).

<http://aut.ac.nz.libguides.com/integrity>

The University acts promptly when breaches of these expectations occur and has policies and procedures in place to enable a fair and thorough process to occur in all instances where there has been a failure of integrity.

Part 7 of the General Academic Regulations provides definitions, processes, sanctions and appeals with regard to Academic Discipline (Dishonesty during Assessment or Course of Study).

<http://www.aut.ac.nz/about-aut/university-publications/academic-calendar>

### **Plagiarism**

Students are expected to exercise discretion in their use of research or secondary material. Where such material is used as a major element of, or contribution to a finished project (whether written or visual), there is a requirement to fully acknowledge the source of reference. Failure to acknowledge sources is plagiarism, which the AUT Academic Calendar defines as “using another person’s words, constructs or ideas as one’s own without acknowledgment”. In the case of blatant plagiarism and the complete transposition of the whole or part of another writer or artist’s work – which is subsequently claimed as an original piece of student work – the submission will be seen as being in breach of the General Academic Regulations, and appropriate disciplinary action will be taken (See the AUT Academic Calendar).

86

### **Turnitin**

The University may use Turnitin, or equivalent, to assess work submitted, such as PGR1s, PGR2s and PGR9s. It is compulsory that theses and dissertations, except those presented in Te Reo Māori, be submitted to Turnitin, prior to submission for examination. See page 119 for further details.

# RESEARCH ETHICS

Research and teaching are integral to the mission of the University. In pursuit of these aims, the Auckland University of Technology Ethics Committee (AUTEC) recognises the need to promote integrity in research and teaching, while upholding the University's responsibility to ensure that the privacy, safety, health, social sensitivities and welfare of human participants are adequately protected. Comprehensive and up to date information about ethics approval processes is available online at <http://www.aut.ac.nz/researchethics>. All researchers are referred to this website as the source for forms and information.

## Ethics Approval for Research

**Note:** *Retrospective ethics approval will not be given.*

AUTEC recognises that individual researchers and lecturers, working in and familiar with their own disciplines, are generally in the best position to assess proposed research activities. Nevertheless, to ensure consistency and impartiality in considering the interests of potential participants, as well as to provide a degree of protection for the researchers, certain categories of research and teaching activities must be approved in accordance with the ethical principles governing research at AUT, before the research or teaching is undertaken. Approval by an Ethics Committee is also a requirement for many funding agencies and for publication. In certain circumstances, ethics applications will need to be submitted to a Health and Disabilities Ethics Committee. Information on these requirements is located on the Research Ethics website.

It is a requirement that research involving human or animal participants receive review by the appropriate ethics committee before data collection commences. Failure to obtain the necessary ethics approvals, or any breach of any conditions of approval applied to the research by the relevant ethics committee will be regarded as research misconduct, and may result in disciplinary proceedings.

At AUT the applicant is the supervisor and if student research is involved, the student is the researcher. The Faculty Postgraduate Board publicises and promotes the appropriate ethics advice. It is the responsibility of the supervisor to ensure ethics approval is obtained for all research involving human or animal participants and for Heads of School to sign on applications to the appropriate ethics committee such as AUTEC. Should the supervisor have any doubt they should contact the ethics committee Faculty representatives.

When approval is not gained and data is then collected without ethics approval (including collecting data overseas without local ethical approval) the work would not be publishable, for example either in a thesis, or in a scholarly piece of work. Therefore any data gained from an unapproved data gathering process including consequent analysis and conclusions may need to be removed prior to submission for examination

(note this is likely to impact upon the readiness of the thesis).

If the thesis has already been submitted to examiners it may be withdrawn from the examination process.

It is the policy of the University that all staff or student research and teaching sessions involving human participants (with the exception of special cases mentioned under Section 6 of AUTEC's Applying for Ethics: Guidelines and Procedures) must receive approval from AUTEC before recruitment and data collection begin.

If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the proposed research with the AUTEC Secretariat.

## Animal Ethics

It is the policy of the University that teaching involving animals and staff or student research involving animals must receive ethical approval from an approved Animal Ethics Committee prior to the commencement of the research. The University of Auckland Animal Ethics Committee has a Memorandum of Understanding with AUT to undertake this review. There will be a charge levied for this service, payable by the department or school. Please consult with the academic supervisor and with the Research Ethics Advisor.

88

## Overseas Data Collection

Where data collection is to be undertaken overseas, the student should investigate if there are any local ethical requirements and report back to the supervisor(s) and work together to satisfy the local requirements. Failure to obtain or comply with local ethical requirements may result in disciplinary action for both the supervisors and student.

## Ethics Responsibilities of Supervisors and Students

### Academic Responsibilities of Supervisors:

- Ensure students apply for appropriate ethics approval where human participants are involved. Requirements for ethics approval need to be addressed with students within an appropriate time-frame that does not compromise their research (at least two months prior to commencement of participant research);
- Read, edit and provide feedback on the ethics application;
- Sign off the ethics application form for ethics approval as appropriate;
- Ensure head of school or delegated authority signature has been obtained for all ethics applications;
- Assist students in corrections and responses to unsuccessful applications or conditional approvals;
- Supervise the ethical conduct as outlined in the approved ethics application;
- Ensure any amendments to approved research projects are put forward to the Secretariat for approval prior to implementation of the change;
- Where applicable, ensure that any local ethical requirements are met;



- Ensure AUTECH is provided with the required progress and completion reports.

**Students' Responsibilities:**

- Fully discuss any research involving human participants with their supervisor;
- Become cognisant of AUTECH guidelines and application procedures (for example, by attending a postgraduate seminar on the topic);
- Prepare application in consultation with their supervisor and, where appropriate, an AUTECH faculty representative;
- Ensure their supervisor reads, edits and comments on the ethics application;
- If undertaking data collection overseas, the student is to investigate if there are any local ethical requirements and discuss these with the supervisor(s) to satisfy any local requirements;
- Ensure application is signed off by supervisor and head of school;
- Respond to AUTECH feedback as appropriate in consultation with their supervisor;
- Undertake research in an ethical manner and according to the frameworks outlined in the approved ethics application;
- Work with their supervisors to ensure any amendments to approved research projects are put forward to AUTECH for approval prior to implementation of the change;
- Prepare the required progress and completion reports.

# RESOLUTION OF PROBLEMS

A productive supervisor/student relationship does not happen automatically; it develops over time and requires a commitment from both parties from the outset.

As an initial starting point to initiate the supervision process, a Research Supervision Agreement is a tool to negotiate the way supervision is undertaken. A template can be found at the following AUT webpage.

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/supervision-support/supervision-agreement>

Additionally, the University offers seminars on working with your supervisor as part of the seminar series. Workshops are also offered to supervisors on working with students.

As students progress through the research journey there are sometimes issues. The following process has been put in place to facilitate the resolution of problems. It is hoped that most of the problems which arise between a student and a supervisor are able to be resolved through discussion, with or without the assistance of a third party.

90

## **Step one**

A student who has an issue or complaint should discuss this with their supervisor(s) in the first instance.

## **Step two**

Where the issue or problem has not been resolved the sequence of escalation should be to the programme leader/head of postgraduate (or equivalent).

## **Step three**

The programme leader should alert the Faculty Postgraduate Office to any issues unable to be resolved and escalate to the Associate Dean (Postgraduate).

Should the issue or complaint still not be resolved then the Associate Dean (Postgraduate) can then escalate the issue to the Dean of the Graduate Research School.

**Note:** *If a student contacts the Graduate Research School directly to discuss an issue or grievance prior to discussing with the Faculty, they will be referred to the Associate Dean (Postgraduate).*

The student supervisor relationship is critical and occasionally it may be preferable to change supervisors. This is not a desired outcome but may sometimes be necessary. It is important to note that due to the specific nature of some research projects it may be possible there is not an alternative supervisor available. In such cases arrangements may be negotiated with the faculty in order to continue with the existing supervisor.

Students and their supervisors should be aware of the specific support available through:

- The Postgraduate Student Advisor (available through the GRS)
- AUTSAs advocacy service
- The Health, Counselling and Wellbeing Centres.

Students and/or supervisors are also able to contact the Dean of Graduate Research School or the Associate Dean (Postgraduate) of the Faculty, or equivalent, for advice and/or assistance in the resolution of issues.

### **University Complaints Procedures**

Any complaints should be made in accordance with the Complaints Procedures as outlined in the AUT Academic Calendar.

# SPECIFIC LEARNING DIFFICULTIES

Specific Learning Difficulties is a general term that is used to describe people who may have challenges with listening, speaking, reading, writing, remembering things, reasoning or mathematics. These specific learning difficulties may include, but not be limited to:

Attention Deficit (Hyperactivity) Disorder (AD(H)D);

Asperger's syndrome;

Autism;

Dysgraphia (inability to write coherently);

Dyslexia (A general term for disorders that involve difficulty in learning to read or interpret words, letters, and other symbols, but that do not affect general intelligence.);

Dyspraxia (movement and coordination difficulties);

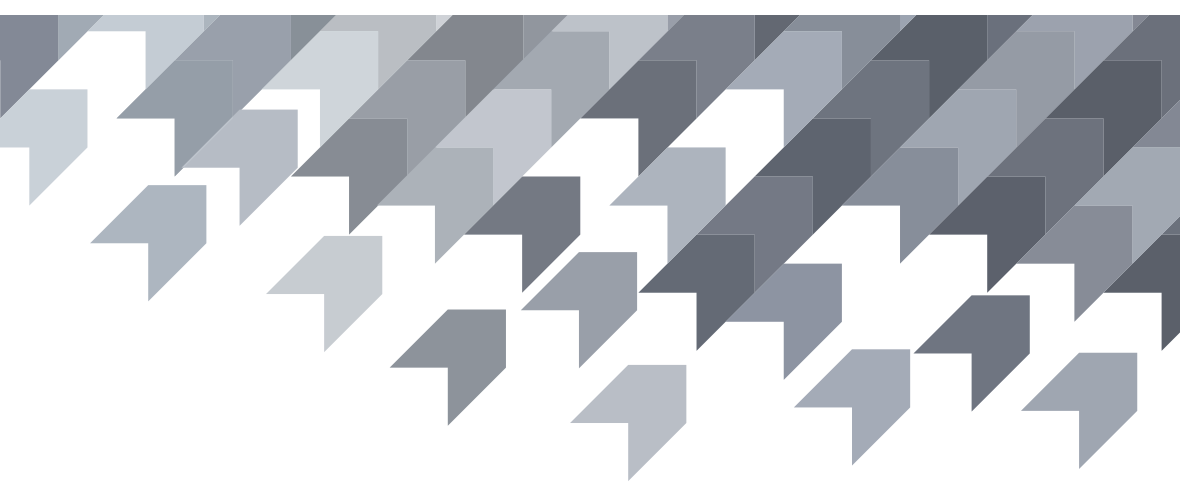
Dyscalculia (Severe difficulties in making arithmetical calculations).

92

Students who have a specific learning difficulty that prevents that student from undertaking the examination of their dissertation/thesis within the usual timeframe and process, the student may be offered support to assist them through the examination. The student should have an assessment of the learning difficulties undertaken prior to submission for examination and have initial discussions with their supervisors and the Associate Dean (Postgraduate) prior to the appointment of examiners. The University Postgraduate Board, in consultation with the faculty and supervisors, will create a plan for the student's examination, as per the 'Specific Learning Difficulties Protocol'.







# EXAMINATION

- THESIS FORMATTING AND PRESENTATION
- ASSESSMENT CRITERIA
- EXAMINATION PROCESSES

# RESEARCH OUTPUTS

## Research Description

“Research is intellectually controlled investigation. It advances knowledge through the discovery and codification of new information or the development of further understanding about existing information. It is a creative and independent activity conducted by people with expert knowledge of the theories, methods and information of the principal field of enquiry and its cognate discipline(s). Research typically involves enquiry of an experimental or critical nature driven by an hypothesis or intellectual position capable of rigorous assessment. Its finding must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. A long term and cumulative activity, research is often characterised by fruitful new topics for investigation and unexpected uses for its findings.”

*Taken from CUAP Handbook 2018.*

## Research Types

The Committee on University Academic Programmes (CUAP) defines research outputs as the following:

- Thesis is 90 points and above
- Dissertation as 60 points
- Research Project as less than 60 points.

Note: As this is a new definition from CUAP in 2018 there may be some programmes that have research output types that do not follow this definition. Students currently enrolled in a programme that differs from the above will be able to complete as per the regulations they enrolled under.

## Guidelines for Presenting in Te Reo Māori

The University is committed to enabling a student to present a thesis/dissertation either in part or wholly in Māori. This must be discussed with the faculty at the time of enrolment in order to ensure that appropriate supervisors and examiners will be available, or where appropriate supervisors or examiners are not available; an approved translation service will be made available.

Please refer to:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>



## Theses

The thesis demonstrates the ability of the student to carry out supervised research in a sustained investigation, which contributes to the knowledge in the cognate area of specialisation. It is conducted with a high level of skill in analysis and critical evaluation. It should provide evidence that the student is familiar with and has employed the most suitable research methods, and that the procedures are clearly of an appropriate standard.

There should be an appropriate balance between the different parts of the thesis. In particular, the contribution to the advancement of knowledge should be clearly distinguishable from the introductory material, the survey of relevant literature, research methodology employed, data analysis and evaluation. The thesis should also acknowledge which work has been performed by the student and where results obtained from other sources have been included.

Where the thesis is focused on the preparation of a scholarly edition of a text or texts, or original artefacts, the completed submission includes a copy of the edited text(s) or collection of artefact(s), together with appropriate textual and explanatory annotations and a substantial introduction and critical commentary which sets the text(s) or artefact(s) in the relevant theoretical, historical and critical context.

Where the thesis contains a creative or practice-oriented component, such as an artistic design or literary artefact, or performance the term 'thesis' encompasses the creative/practice-oriented component and the exegesis as a whole.

97

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### Theses with Practice-Oriented Component<sup>1</sup>

Where programme regulations allow, a thesis may incorporate practice-oriented work. In such situations the thesis component is to be comprised by an artefact, as an artistic design or literary artefact, or performance, and exegesis and should be considered together as an integral part of the overall thesis.

Where the thesis is substantially practice-oriented, the artefact should be accompanied by an exegesis. The exegesis relates directly to the practice-oriented work and as such does not have a research topic or question of its own. The purpose of the exegesis is to elucidate and clarify the relationship between the central concept, key contexts, focus and methodology of the creative work, thereby setting the thesis in its relevant critical context

### Dissertations and Research Projects

A dissertation/research project involves a supervised scholarly investigation of an appropriate topic. This may be a small-scale research study, which provides an opportunity for the student to be introduced to the process of planning, developing and carrying out research under supervision. Alternatively, a dissertation/research project may involve a critical analysis and evaluation of the literature pertinent to a

1 This may include but is not restricted to the following: an exhibition of creative material, journalistic articles written to publication standard, curricula or classroom materials.

selected topic, together with identification of and the rationale for potential areas for further research.

A dissertation/research project should provide sufficient information to enable an examiner to appreciate that the study or analysis has been undertaken with a level of skill which demonstrates independence of thought, critical analysis, constructive synthesis and application, grounded in rigorous understanding of the cognate field.

There should be an appropriate balance between the different parts of a dissertation/research project. In particular, the contribution to the advancement of knowledge in the chosen field of study should be clearly distinguishable from introductory material and the survey of relevant literature.

Requirements for a dissertation or research project are determined by individual faculties, and approved by programme boards of studies and postgraduate committees.

Where appropriate, as for the practice-oriented theses, a discussion will be scheduled between the student and examiners in the presence of an exhibition/ presentation of practice-oriented work. In this context the discussion is not an examination but is seen as a supplement to the written exegesis, providing an opportunity for the student and examiners to clarify matters related to the dissertation/research project presentation.

# FORMATTING AND PRESENTATION

## Note:

- *Processes for research projects are the same as for dissertations but will be undertaken within faculties.*

## Form of Thesis/Dissertation for Examination

The thesis/dissertation should be a word processed paper document. In the case of theses/dissertations incorporating creative, non-written work, an exegesis must accompany the visual work. Students should consult with their supervisor.

## Supervisors Checklist

It is recommended that supervisors complete the Thesis and Dissertation Checklist for Supervisors to ensure all required components of a thesis or dissertation are completed and included as necessary at the time the first draft is submitted. This is to ensure that word counts are met, format structures are adhered to, that the thesis has been submitted to Turnitin, or an equivalent, and if problems are encountered that the student will have time to make changes prior to submission for examination. The primary supervisor is to ensure the thesis/dissertation is of the required standard for submission for examination.

At time of lodgement for examination, the Associate Dean (Postgraduate) (ADP) will sign the PGR12- Lodgement for Examination form to state that the ADP has undertaken a superficial check of the thesis/dissertation including:

- Format of thesis/dissertation;
- Inclusion of ethical approval (if applicable);
- Attestation of Authorship page is signed;
- Format requirements are achieved;
- Sign off from supervisor that it is ready for examination (on lodgement form). Thesis and Dissertation Checklist for Supervisors on the AUT website.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

## Proofreading

A high standard of editing of the work submitted for examination is expected. If professional proofreading of theses or dissertations is required, this needs to take place in agreement with the primary supervisor and must not detract from the originality of the student's own work.

The faculties hold lists of preferred proof-readers; please contact your faculty postgraduate office directly. Proofreading guidelines are available on the AUT website. Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

## **Turnitin**

It is compulsory that theses and dissertations, except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. See page 119 for further details.

## **Non-Print Materials**

Where the thesis/dissertation is primarily in visual form, non-print material is reproduced in a format suitable for storage and retrieval and must be appropriately packaged. Photographic representation, photo reduction, microforms, should be used. Students should seek the advice of their primary supervisor in all such cases.

## **Paper Size**

Theses/dissertations should normally be typed on A4 size white bond paper. If diagrams, maps, tables and similar presentations do not fit on this sheet size, ISO B4 size may be used. B4 size pages are to be folded and bound so as to open out at the top and the right.

## **Research Title Naming Convention**

Thesis/dissertation titles are to follow title case, where the first letter of each word is to be capitalized, except for prepositions, articles and coordinating conjunctions.

## **Typing**

Font size: a legible font of easily readable size such as Times New Roman 11 point or Arial 11 point.

Typing is to be spaced either double or space-and-a-half with the exception of quotations, footnotes and bibliographies which are to be single spaced. Tables should be single spaced and pages numbered consecutively throughout the thesis/dissertation.

The following minimal margins are recommended:

Left – 4 cm

Top and bottom – 2 cm

Right – 2 cm

## **Thesis/Dissertation/Exegesis Formats**

Three formatting structures can be followed. The thesis/dissertation/exegesis must have a clear statement of the objective/research questions, outline the theoretical overview that provides the framework for the thesis as a cohesive linked package and show clear evidence of the student's original contribution. All work should follow the structure outlined in the next section but the chapters may vary depending on which presentation option is adopted. Exemplars of chapter formats are included.

### **Format One – Traditional Research Structure:**

*Thesis is presented in the traditional thesis structure.*

The thesis is wholly written. It includes chapters related to introduction, literature review, methodology/methods, data analysis, discussion and conclusions.

*Exemplar Format One chapter format:*

- Thesis Abstract
- Introduction
- Literature review
- Research Design/Methods/Methodology
- Results/Findings
- Discussion/Conclusions/Implications (including areas identified for further research and limitations).
- Reference

#### **Note:**

*The traditional format does not preclude the inclusion of published manuscripts resultant from thesis work, in the appendices.*

### **Format Two – Manuscript Structure:**

Master's and Bachelor's with Honours students completing research of at least 90 points, and doctoral students may include in their research submission for examination manuscripts that have been prepared as they progress through their degree.

Manuscripts may be work:

- In preparation for submission to a peer-reviewed journal;
- Submitted to a peer-reviewed journal;
- Published in a peer-reviewed journal; or,
- Considered to be equivalent to the above, by their discipline.
  - Conference papers in the ICT field may have a higher ranking than journal publications.

The manuscript(s) must be resultant from work completed during the student's enrolment and supervision in their research degree. These manuscripts may include reviews, and experimental findings.

A thesis using this format requires a comprehensive overall discussion and conclusion chapter, and explicit links of at least half a page as a prelude between distinct chapters each of which form a sequential and cohesive thesis.

The manuscripts should be presented as they have been submitted for the target publication, with the exception that referencing format must be standardised throughout the thesis (the format may be chosen, but clearly nominated in the introductory material). However, abstracts should not normally be included. A reference list by chapter may be included, in addition to a final reference list for the entire thesis.

The introductory thesis chapter should state how the thesis is structured, including details on direct inclusion of manuscripts as chapters.

Inherent in the manuscript format will be some discussion and conclusion material within each chapter, thus it is acknowledged that some repetition may occur between the chapters as manuscripts, and the final discussion and conclusion chapter. The discussion and conclusion chapter is essential, and should synthesize all findings in the thesis as a whole, including practical implications, and future research directions.

It is not acceptable to insert a copy of a published journal article as a discrete chapter in the thesis; all chapters should follow the standard formatting and presentation as indicated below.

The proposed thesis structure should be indicated on the PGR9- Confirmation of Candidature form, identifying where manuscripts are planned to be incorporated.

#### *Exemplar Format Two Chapter Format*

- Thesis Abstract
- Introduction
- Literature Review (which might also be considered as Manuscript 1 if prepared as such)
- Prelude/Introduction to Manuscript 1
- Manuscript 1
- Prelude/Introduction to Manuscript 2
- Manuscript 2 (onwards in subsequent chapters as relevant)
- Discussion / Conclusions / Implications
- References

#### **Format Two Requirements**

The student is required to be the principal author of the manuscript, with a stated contribution of at least 80%. Theses including manuscripts must include a signed declaration which specify the extent and nature of the contribution and co-authors' contribution to each of the manuscripts.

**Doctoral students** are required to have a minimum of **two** manuscripts submitted to a peer reviewed journal prior to submission for examination.

**Masters and Bachelor's with Honours** with a research component of 90 points or above must have a minimum of **one** manuscript submitted to a peer reviewed journal prior to submission for examination.

It is important for students and supervisors to continue to publish papers, and it is recommended that the student and supervisor sign a statement that the papers are either submitted or ready for submission.

It is the student's responsibility to ensure that any published work (or parts thereof) included in the thesis comply with the copyright provisions of the publisher. If published manuscripts that form part of a submitted thesis are identified through Turnitin on submission, a brief explanatory statement should be included on the PGR12 – Lodgement of Thesis for Examination form.

If copyright in the paper(s) is held by the journal publisher(s) the student must obtain written permission to include the published work in the thesis unless publishers' guidelines specifically state that this is allowed. Sufficient time must be allowed for obtaining the copyright holder's permission prior to submission of the thesis for examination. Evidence of permission obtained is to be included in the thesis in the contribution to authorship section of the thesis.

Some publishers will not permit the inclusion of the published version but may permit the use of the author's manuscript version, following peer review (often referred to as the post print). For more information, read the Theses & Dissertations guide on the Library website or contact the Library's Research Support Coordinator.

For proforma letters seeking permission from publishers/third party copyright material" please see the AUT website.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

**Note:**

- *Research that has been published or accepted for publication, does not ensure a pass in a doctoral degree. Examiners will judge a student's research on its original contribution to knowledge and scholarship. The thesis must stand on its own merits as a thesis and will be assessed on its totality. Examiners may request changes to any part of the thesis whether the articles have been previously published or not.*
- *Master's and Bachelors with Honours theses and dissertations of less than 90 points should follow the traditional format one presentation as there is not sufficient time to undertake the requirements of format two by the time of thesis submission. It is therefore recommended that the format one or format three presentation be followed.*

**Format Three:**

In a Format Three thesis, it is generally understood that practice does not serve to illustrate theory but is more appropriately understood as the site of research. Practice-oriented research should include an artefact/performance/or other approved output and exegesis for examination. The term 'thesis' encompasses the creative/practice-oriented component and the exegesis as a whole.

Where the thesis is substantially practice-oriented, the artefact is accompanied by an exegesis. The exegesis relates directly to the practice-oriented work and as such does not have a research topic or question of its own. The purpose of the exegesis is

to elucidate and clarify the relationship between the central concept, key contexts, focus and methodology of the practice-oriented work, thereby setting the thesis in its relevant critical context.

The mode of presentation to the examiners will be decided in consultation with the supervisors, and the programme leader. Where there are no cost constraints, the student may choose to present a visual/verbal presentation to the examination panel. The student is required to offer a record of such a presentation to the examiners. For word limits see page 105.

*An artefact may be, but is not limited to:*

- A design or literary artefact;
- Visual material;
- An exhibition;
- A collection of art works;
- A novel or short story;
- A film/or animation;
- Any creative means of showcasing practice-oriented research.

*A performance may be, but is not limited to:*

- A performance such a dance, music, stage or film;
- Any creative means of showcasing practice-oriented research.

*Other approved outputs may be, but are not limited to:*

- A collection of examples of resources;
- Evidence of a significant practice initiative using video, photographs or whatever other means captures the change;
- Any creative means of showcasing practice-oriented research;
- A portfolio;
- A client education video produced as the major focus of the practice project;
- A practice project that records a series of changes over time, a visual record of the impact of those changes could form an important part of the presentation;
- A video game or digital art.

*Exemplar Format Three Exegesis/Project Report Chapter Format:*

- A full explanatory introduction;
- A substantial review of the literature/ critically review knowledge relevant to the practice-oriented works;
- Detailed description of methodologies and data/ critical commentary on the research process and outcome;
- Discussion of relevant theoretical, historical and critical context ;
- A discussion that overviews the thesis project;
- Reflection of thesis project.



## Word Limits

### Note:

- The word limits stated below are the normal requirements. However, students should consult with their supervisors on what is appropriate for their topic, methodology or discipline norms.
- Word limits include everything from the introduction to the conclusion, including foot notes but not including appendices.

Programme	Format One	Format Two	Format Three
<b>Doctoral</b>	Normally between 60,000 and 80,000 with an upper limit of 100,000 words*	Normally between 45,000 and 80,000 words with an upper limit of 100,000 words*	Normally between 40,000 to 50,000 words*
<b>Master's Thesis</b>	Normally between 20,000 and 40,000 word with an upper limit of 60,000 words *	Normally between 20,000 and 40,000 words with an upper limit of 60,000 words *	Normally between 7,000 and 15,000 words*
<b>Bachelor with Honours</b>	Normally between 10,000 and 30,000 words*	Normally between 20,000 and 40,000 words*	Normally between 6,000 and 8,000 words*
<b>Dissertation and Research Projects</b>	Normally between 10,000 and 30,000 words*	N/A	Normally between 6,000 and 8,000 words*

\* This is dependent on the topic and the specific research undertaken, and may vary depending on methodology and the relevant point's value of the research e.g. 60 points vs 120 points.

### Doctoral Thesis Word Limits

#### Format One

A doctoral thesis which follows the traditional thesis format is normally between 60,000 and 80,000 words, with an upper limit of 100,000 words (excluding bibliographies and appendices). Students should consult their primary supervisor on what is appropriate for their thesis topic and their proposed research.

#### Format Two

A doctoral thesis which follows the manuscript format is normally between 45,000 and 80,000 words, with an upper limit of 100,000 words (excluding bibliographies and appendices). Students should consult their primary supervisor on what is appropriate for their thesis topic and their proposed research.

### **Format Three**

A doctoral exegesis following a practice-oriented format is normally between 40,000 to 50,000 words, excluding bibliographies or appendices and is accompanied by a body of practical work that forms the primary site of the inquiry.

### **Master's Thesis Word Limits**

#### **Format One**

A master's thesis which follows the traditional thesis format is normally between 20,000 and 40,000 words (excluding bibliographies), with an upper limit of 60,000 words.

This is dependent on the topic and the specific research undertaken, and may vary depending on methodology and the relevant point's value of the research e.g. 60 points vs 120 points.

#### **Format Two**

**Note:** *Masters with a research component of 90 points or above may follow format two. Research of below 90 points must follow format one structure.*

A master's thesis following the manuscript format is normally between 20,000 and 40,000 words (excluding bibliographies), with an upper limit of 60,000 words. This is dependent on the topic and the specific research undertaken, and varies depending on methodology and the relevant point's value of the research e.g. 90 points vs 120 points.

#### **Format Three**

A master's thesis which follows the format three exegesis would normally be between 7,000 and 15,000 words and is accompanied by a body of practical work that forms the primary site of the inquiry. . Students should consult their primary supervisor on what is appropriate for their exegesis topic and their proposed research.

### **Bachelor with Honours Word Limits**

#### **Format One**

A Bachelor with Honours dissertation which follows the traditional thesis format is normally between 10,000 and 30,000 words (excluding bibliographies), depending on the topic and the specific research undertaken. Students should consult their programme leader on what is appropriate for their dissertation topic.

#### **Format Two**

**Note:** *Bachelor with Honours with a research component of 90 points or above may follow format two. Research of below 90 points must follow format one structure.*

A Bachelor with Honours research component following the manuscript format is normally between 20,000 and 40,000 words (excluding bibliographies), with an upper limit of 60,000 words. This is dependent on the topic and the specific research

undertaken, and varies depending on methodology.

### **Format Three**

A Bachelor with Honours which follows the format three structure would normally be between 6,000 to 8,000 words and is accompanied by a body of practical work that forms the primary site of the inquiry. Students should consult their primary supervisor on what is appropriate for their exegesis topic and their proposed research.

## **Dissertation and Research Project Word Limits**

### **Format One**

A dissertation or research project which follows the traditional format is normally between 10,000 and 30,000 words (excluding bibliographies), depending on the topic and the specific research undertaken. Students should consult their programme leader on what is appropriate for their dissertation topic.

### **Format Two**

**Note:** *A dissertation or research project must follow format one or format three structure.*

### **Format Three**

A dissertation or research project which follows the format three structure would normally be between 6,000 and 8,000 words and is accompanied by a body of practical work that forms the primary site of the inquiry. Students should consult their primary supervisor on what is appropriate for their exegesis topic and their proposed research.

107

## **Thesis/Dissertation/Exegesis Layout**

**Note:** *For examples of title pages and cover layouts please refer to Appendix C on page 178*

The thesis/dissertation/exegesis should be structured in the following order:

### **Title page**

The first page of the thesis/dissertation/exegesis must contain the following elements:

- Student's name;
- Full title of the thesis/dissertation/exegesis;
- Year of lodgement (this should be the date the research was submitted for examination). Please note that when preparing the final thesis for lodgement to Tuwhera (if amendments are required post examination) that the lodgement year is required to be changed to the year that the final thesis is lodged to Tuwhera in order to graduate. See page 155;
- School, Division or Department;
- The lodgement statement appropriate to the degree.

## Lodgement Statements

PhD and MPhil:

A thesis/dissertation/exegesis submitted to Auckland University of Technology in fulfilment of the requirements for the degree of .....

All Other Postgraduate Degrees (Including Professional Doctorates):

A thesis/dissertation/exegesis submitted to Auckland University of Technology in partial fulfilment of the requirements for the degree of .....

## Abstract

Next in sequence, there is to be an abstract of the thesis/dissertation not exceeding 500 words in length. An abstract is a concise statement about the work. The abstract can be descriptive or informative and usually includes the purpose of the work, the main points of the work, and the stated conclusions in the work.

## Table of Contents

The thesis/dissertation/exegesis is to include a table of contents after the title page. The Table of Contents is a listing of the major section headings in the order of their appearance and their respective page numbers. All chapter titles and subheadings listed in the Table of Contents must exactly match the headings as presented in the text. The Table of Contents itself should not be listed in the Table of Contents.

108

## List of Figures (if any)

This is required if the thesis/dissertation/exegesis contains illustrations. Figures include all diagrams, models, flowcharts, graphs, pictures, photographs, line drawings, maps. Figures should be formatted according to APA style or other approved reference style.

## List of Tables (if any)

This is required if the thesis/dissertation/exegesis contains tables that include theoretical and/or numerical information. Tables should be formatted according to APA style or other approved reference style.

**Note:** *Workshops are available to provide guidance on the current APA style.*

## Attestation of Authorship

On the first page after the table of contents, the following attestation signed by the student certifying the original authorship of the thesis/dissertation is to appear:

*"I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person (except where explicitly defined in the acknowledgements), nor material which to a substantial extent has been submitted for the award of any other degree or diploma of a university or other institution of higher learning."*

### **Co-Authored Works**

Where the thesis contains jointly authored research papers, case studies and/or any other work published or unpublished the student should be the principal author and a declaration is required to state the extent to which the jointly authored material is the student's own work, with a contribution of at least 80%. This declaration should include the signatures and percentage contributions of all co-authors and a qualitative statement of all contributions.

### **Declaration of Collaboration**

Where a format three practice-oriented thesis contains collaborative artistic research or co-production, the student should provide formal distinction of the artistic component, as well as acknowledge the collaborators contribution within the acknowledgements section of the thesis. For example, a film-maker might work with a camera operator, a web-designer may work closely with a software programmer, a performer may need a sound composer to contribute to a professionally produced final work.

### **Acknowledgements**

Where appropriate, a brief acknowledgement of any substantial assistance received should be included on a separate page inserted in sequence. The acknowledgement should list the names of all those persons who have provided substantial assistance with the research and the nature of that assistance which may relate, for example to the:

- Supervisory team;
- Sponsorship of the research;
- Collection of data;
- Processing of the data including the selection and use of particular statistical techniques;
- Interpretation of the results of the statistical analysis;
- Editing of the thesis/dissertation;
- Use of graphics in the thesis/dissertation;
- Word processing of the thesis/dissertation.

If any of the assistance was provided for a fee, this should also be recorded.

### **Intellectual Property Rights**

If there is material in the thesis/dissertation/exegesis which could or does have implications for the intellectual property rights of the student, the University, a sponsor of the research or some other person or body, those implications should be stated under the heading "Intellectual Property Rights" either on the same page as the acknowledgements or on the next page in sequence.

### **Ethics Approval**

If the thesis/dissertation/exegesis reports on research involving humans or human

biological materials or involving animals, acknowledgement of ethics approval by the relevant ethics committee(s) should be stated in the acknowledgements section, including the ethics application number and date of approval.

### **Confidential Material**

If there is material in the thesis/dissertation which is confidential for commercial or other reasons, either for a specified period or indefinitely, the period of its confidentiality and the reasons for its confidentiality should be specified under the heading “Confidential Material” on a separate page inserted in sequence.

Confidential material will normally be provided in a separate annex to the thesis/dissertation/exegesis.

The Application for Embargo Form (PGR16) must be submitted during the digital deposit process.

### **Chapters**

Chapter formats may differ for various disciplines (check with your supervisor). There are three approaches to the style of the thesis/dissertation dependent on whether format one, format two or format three are used. Exemplars of formats detailed on page 100–104.

### **References**

The thesis/dissertation/exegesis is to include a list of references, in a standard format, which should detail alphabetically or numerically the sources acknowledged in the body of the work. This section should be included at the end of the thesis/dissertation/exegesis not at the end of each chapter.

Advice regarding bibliographic standards can be obtained from the primary supervisor and the Research Support Coordinator.

### **Glossary (if any)**

This is an optional section. A glossary contains brief explanations or definitions of difficult, obscure expressions, or specialised terms with their meanings.

### **Appendices (if any)**

This is an optional section for any supplementary material that documents important components of the thesis/dissertation/exegesis research process. Appendices should be formatted according to APA style or other approved reference style.

The content of the appendices may vary depending on the methodology used however, the following is a guide on what should be included in the appendix:

Appendix A: Ethics Approval (may be more than one letter)

Appendix B: Tools

a) Interviews, focus group, observation guide

- b) Participant Information Sheet
- c) Consent form
- d) Letters of support (if applicable) or support services
- e) Letter requesting access

Appendix C: Sample of coding or sample of thematic analysis (if applicable)

Appendix D: Research outputs from thesis or publication from thesis (if applicable)

Other appendices may include (if applicable):

- Glossary
- Transcriber confidentiality agreement
- Profiles

### **Copyright Statement**

Students are not required to have a copyright statement in their thesis/dissertation as it would be covered by New Zealand copyright law (Copyright Act 1994). However, if it is felt that a copyright statement needs to be used then the copyright statement located on the Tuwhera website could be used.

### **Third Party Copyright Material**

If you wish to include in your thesis/dissertation/exegesis any material to which another person or entity holds the rights, for example an artwork, photograph or lengthy extract of text, you should obtain the permission of the copyright holder.

This letter is available after the Postgraduate forms, on the AUT website: Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

# HIGHER DOCTORATE EXAMINATIONS

## Review Process

When an application for a Higher Doctorate is received, the Vice-Chancellor will nominate a senior academic staff member to appoint a Review Panel of not fewer than three persons. This Review Panel will report to the University Postgraduate Board in the following terms:

1. The Review Panel considers the submitted material to be worthy of examination for the degree, in which case they will recommend suitable examiners; or
2. The Review Panel does not consider the submitted material to be worthy of examination for the degree, in which case they will set out briefly the points on which it fails to meet the requirements for examination.

## Examination Process

If the Review Panel determines that the examination shall proceed, the applicant's work shall be forwarded to three examiners.

### Appointment of Examiners

Higher Doctorates are normally assessed by three examiners who will have international standing in the relevant area. Normally, at least one examiner must be from overseas i.e. is currently resident overseas and is/has been employed at an overseas university(s) for at least 10 years. An examiner must be active in research. An examiner must have no potential conflict of interest, for example, worked with or been involved in collaborative research with the candidate.

### Examination Criteria

A Higher Doctorate may only be awarded for a substantial collection of work which constitutes an original, substantial and distinguished contribution to scholarship, and:

- Indicates a record of special excellence in their original contributions in research or creative achievement;
- Shows the candidate to be a distinguished leader in the relevant field; and
- Provides an original and prestigious contribution to the relevant field of knowledge.

### Examination Outcome

The examiners will:

- Report independently on the quality of the work according to the examination criteria and;
- Recommend whether or not the degree should be awarded.



If the examiners are not in agreement of the examination outcome the Review Panel may:

1. Consult with the examiners to see if consensus can be reached; or
2. Follow the majority decision; or
3. Appoint a further examiner; or
4. Appoint an independent referee.

On the basis of the examiners' reports, the University Postgraduate Board (UPB) will determine whether the degree should be awarded. The Dean of the Graduate Research School will advise the applicant of the examination outcome. The degree will be conferred at an appropriate graduation ceremony.

### **Re-Applications**

An applicant who is not permitted to proceed to examination, or who is not awarded the degree, may not re-apply for a Higher Doctorate until a period of five years has lapsed since the first application and may re-apply only once.

## **Appeals**

### **Appeals Against the Outcome**

An appeal against a decision by the UPB should be made in accordance with the General Academic Regulations, as outlined in the AUT Academic Calendar

# DOCTORAL EXAMINATIONS

## NOTE

### **Examiner Communication**

Once the thesis has been lodged for examination, there must be no direct communication between the student or supervisors and any of the examiners. All communication with examiners will be conducted through the GRS.

### **Practice-Oriented Examination Process**

The following sections refer to the processes for format one and format two. A separate section outlining the requirements for format three Practice-Oriented research is located on pages 128-131.

### **Examination Timeframe**

Examiners are asked to provide their reports within 8 eight weeks of receiving the thesis for doctoral examinations and that the scheduling of the oral examination takes place within one to two months of receipt of all the examiners' reports. Normally, the examination process and determination of a final outcome takes up to three to four months. Students should note that this timeframe is a guideline only and that the examination process may extend past this period. The GRS maintains contact with the examiners to monitor progress.

Students may contact the GRS to enquire about the progress of the examination. Students should be aware however, that no information (verbal or written) will be given about the recommendations of the examiners until such time as deliberations on the outcomes of the examination process have been completed; this would normally be provided at the end of the oral examination.

### **Graduation Timeframe**

Students should also be aware that, in order to graduate at one of the University's graduation ceremonies, the examination process and consideration of recommendations by the University Postgraduate Board must normally be complete at least six weeks before the ceremony, including the completion of any amendments.

Given the timeframes noted above, students wishing to graduate at a particular graduation ceremony should aim to submit their thesis five to six months prior. It is important to note that there may be delays at any stage of the process and the GRS does not guarantee a student will be able to graduate at a particular ceremony.

### **Practice-Oriented**

The process for the examination of practice-oriented work is similar to that outlined as follows. However, there are differences in the processes required. A separate section highlighting the differences is included at the end of this section.

## Enrolment During Examination

Students will be enrolled throughout the examination process. When a student's enrolment period ends and they have submitted their thesis for examination, then they will be enrolled in a four month examination paper with a nil fee.

## Appointment of Examiners

### Form PGR11 - Appointment of Examiners

#### Requirements

Three months before a thesis is likely to be ready for examination students should alert their primary supervisor so that the appointment of examiners can be arranged.

Doctoral theses are normally assessed by two examiners, one New Zealand examiner and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than three doctoral theses. The New Zealand examiner may be an AUT examiner who has no conflict of interest. Both examiners may be international if a suitable New Zealand examiner is not available.

#### Examiner Nomination

**Note:** *A confirmation of candidature reviewer may be appointed as an examiner for that student's examination should it be determined that there is no other conflict of interest.*

Examiners are nominated by the primary supervisor, in consultation with the supervisory team, and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae). Availability for participation in the oral examination should also be established at this stage.

Students may initiate with their primary supervisor and/or Faculty Associate Dean (Postgraduate), a discussion as to the range of possible examiners. Students may also indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. The Faculty Associate Dean (Postgraduate) or the supervisors may also initiate this discussion. The overall process of appointment of examiners should not result in the student being given the names of the examiners finally recommended. Care must always be taken not to jeopardise the integrity and independence of the examination process.

#### Adjunct Staff

Adjunct staff who are appointed as an examiner for a research component will be treated as an external examiner.

#### Conflict of Interest

Normally, no examiner should have been a supervisor for the student at any stage nor have had any input or involvement in the research. It is highly recommended that

supervisors do not overuse individual examiners. A Conflict of Interest Protocol is available on the AUT website:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

### Examiners' Experience

All examiners should normally have experience in the discipline and or methodology of the thesis being examined, and have international standing. The parameters outlining international standing include, but are not limited to:

- Journal publications (or equivalent) and the quality of the journal;
- Current relevant research and scholarship in the broad topic and/ or Methodology(s) used;
- Recognised academic or scholarly impact (on public or social policy);
- Doctoral qualification or equivalent.

**Note:** *Professional Doctorates may have an examiner appointed, in exceptional circumstances, who is an expert within a specialist field of practice who may not hold a doctoral qualification.*

### Formal Appointment

Once the recommended examiners are approved by the relevant faculty committee and ratified by the University Postgraduate Board, the Graduate Research School (GRS) will formally invite the examiners to confirm their willingness to act in this role and their ability to provide a report within the specified timeframe (usually eight weeks from receipt of thesis). Examiners are provided the details of the student, supervisors and research title and asked if they have a conflict of interest.

It is expected that the formal invitation from the GRS takes place prior to the thesis being submitted and with sufficient time to call on reserve examiners, or to arrange new examiners if the original nominees are unable to undertake the role.

Examiners are advised that their identity will be disclosed to the student and primary supervisor one week prior to the oral examination.

In the event of a delay of more than six months in the lodgement of the thesis for examination, the primary supervisor should reconfirm the examiners' availability and inform the GRS who will notify the examiners of the delay.

### Convenor

At the time that the examiners are approved by the University Postgraduate Board, the GRS will start the process to appoint a Convenor to Chair the examination. The Convenor must be neutral (in the sense that they will not have expertise in the subject being examined and usually be located in a different faculty from the student). The Convenor will accept overall responsibility for ensuring that the examination is fair to

the student concerned, whilst at the same time meeting the expectations of the Board, the University and the examiners.

A Convenor is a member of the Professoriate or a senior member of staff who is fully conversant with University regulations and normally has:

- Been recommended by the Faculty;
- Had multiple supervisions with successful completions ;
- Had experience as a doctoral examiner;
- Maintained their eligibility to be a supervisor by attending regular supervisor workshops ;
- Completed the Convenor workshop and observations required.

### **Payment of Honoraria**

An honorarium may be paid to external examiners. The normal amount is approved annually by the University Postgraduate Board. On receipt of the report from each examiner, the GRS will arrange for payment of the honorarium, if applicable.

## **Key Points to Note When Considering the Appointment of Examiners**

### **Staff Members**

Where a student is also a member of staff, all examiners are to be external to the University. If a staff member is allied or professional they may have an internal examiner appointed where there is no conflict of interest and it is agreed by the Associate Dean (Postgraduate) in consultation with the Dean of the Graduate Research School.

117

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### **Reserve Examiner**

While a reserve examiner is not required; a reserve examiner should be considered. This can shorten delays where an original examiner becomes unable to participate at any stage of the examination or an additional examiner is required. The reserve examiner should normally be external. The reserve examiner should normally be informally approached to take part in the examination where required. The GRS will send a formal invitation.

### **Mentor Examiner**

It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. The examiner mentor is to be an AUT staff member and is not required to read the thesis but is required to answer questions on the examination process. The faculty should notify the mentor that they have been appointed when the examiners are approved.

### **Internal and External Examiners**

An external examiner is defined as a person who is not employed as a member of staff of AUT at the time when invited to examine the thesis. An AUT staff member who has left the University would still be considered 'internal' for up to three years. AUT

doctoral students can examine, however they should not normally be appointed for up to three years after graduation.

### **Confidentiality/Embargoes**

#### **Form PGR16 – Application for Embargo**

Where an embargo has been approved all examiners will be required to sign a confidentiality agreement prior to the thesis being sent to them.

Students should normally apply for an embargo with their PGR9- Confirmation of Candidature form. However, they may also apply to have an embargo for their thesis/exegesis at the time of lodgement for examination by using form PGR16 – Application for Embargo.

It is important to note that, due to the additional administration involved in processing confidential material, there may be a delay in the examination process while the University waits for a signed confidentiality agreement from all examiners unless the request is submitted with the PGR11- Appointment of Examiners form, prior to submission.

Notification of embargoes subsequent to the dispatch of the thesis for examination will not result in appropriate confidentiality agreements being arranged with examiners. Please also refer to the 'Confidential Material' section on page 80 for guidelines and processes.

## **Submission for Examination**

#### **Form PGR12 – Lodgement of Thesis for Examination**

PhD students will normally be expected to submit for examination within four years of their first enrolment, and professional doctorate students are expected to complete the thesis component within three years, unless an extension request has been lodged and approved by the University Postgraduate Board. The maximum timeframe for completion is normally six years.

A student must lodge one digital copy of the thesis for examination with the faculty/school postgraduate office, accompanied by an electronic copy of the completed PGR12 'Lodgement of Thesis for Examination' form. If examiners require a hard copy of the thesis, the examiners will print their own copy and, where applicable, be reimbursed printed costs. Lodgement of the thesis and form need to be signed off by the student's supervisors and approved by the Associate Dean (Postgraduate), or delegated authority. All copies are then forwarded to the GRS for examination.

### **Declaration of Suitability for Examination**

The supervisory team and Associate Dean (Postgraduate), or delegated authority, are required to declare that the thesis is of a suitable standard for examination. This relates to the presentation of the thesis, including appropriate structure/format,

legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication of the quality of the work. The University will normally not proceed with the examination of a thesis considered not to be in a suitable form for examination.

A checklist for supervisors that covers all aspects of what should occur for the submission process is available on the GRS website.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

### **Submission Against Supervisor Advice**

It is important to note that a student has the right to request that the thesis be examined, even though the supervisor(s) may not believe it to be of a suitable standard. Such instances must be clearly identified on the lodgement form, which must have statements from the supervisor(s) and the student outlining the circumstances attached to it.

Where the Faculty Associate Dean (Postgraduate) or delegated authority is not prepared to sign off for examination, this should also be noted on the PGR12 along with an explanation of the reason. In such circumstances the GRS will consult with the Dean of the Graduate Research School on appropriate action.

119

### **Attestation of Authorship**

On the first page after the table of contents, students should attest and sign, certifying the original authorship of the thesis, a declaration. The style and reference for this can be found on page 108.

Note that, for format two, co-authorship needs to be declared. Refer to attestation of co-authored works on page 109.

### **Turnitin**

In order to check for potential unoriginal content, improper citation, or potential plagiarism, it is compulsory (from January 2018) that theses and dissertations except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. Students should discuss the Turnitin report with the primary supervisor prior to submission. A section has been included on the PGR12 Lodgement for Examination (PGR12) form for supervisors to indicate that this has been completed.

Workshops will be provided for supervisors through the Supervisor Workshops offered through the GRS's Researcher Development unit; supervisors can email [supervisor.workshops@aut.ac.nz](mailto:supervisor.workshops@aut.ac.nz) to register.

**Note:** Turnitin is available for research submissions through the PGMe Organisation on Blackboard. It is important that students use this version rather than any other version of Turnitin available through other course organisations available to students from previous enrolments. The PGMe instance of Turnitin allows research students' to submit their work without information being stored within the Turnitin database. If Turnitin is used from other areas in Blackboard a copy will be saved on Turnitin's database.

## Dispatch

**Note:** Theses will not be sent for examination if there are any outstanding fees.

Once the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. Examiners will receive a link to download the thesis. If an examiner requires a hard copy, the examiners will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment. The examiners are also sent a copy of the University's briefing pack for examiners and informed of the date their reports are due.

The GRS will notify students and their supervisors once the thesis is sent.

## Examiners' Reports

Each examiner is asked to examine or consider the thesis and present an independent report to the GRS. Each examiner is asked to comment on:

- The overall performance of the student in relation to peers on comparable programmes;
- The appropriateness of research methodology used;
- The student's original contribution to knowledge in his/her chosen discipline or field of study/practice;
- The depth and breadth of coverage of the subject matter concerned;
- The presentation of the thesis;
- The quality of the knowledge and skills (both general and subject specific) demonstrated by the student.

Examiners' reports are treated as strictly confidential and, when all have been received (and not before), anonymised copies will be distributed to all members of the Examination Panel. There will be no discussion between the examiners, supervisor(s) and the student prior to the oral examination. Occasionally, the Convenor or the Dean of the Graduate Research School may contact the examiners to clarify points raised in the reports.

All examiners' reports will normally be released to the student at a pre-meeting, one week prior to the oral examination.

**Note:** Where there is no clear agreement on the provisional outcome of the



*examination, an additional examiner may be appointed and the thesis sent for further examination.*

### **Examiners' Recommendations**

Examiners are required to provide a written report and provisional recommendation and return these to the Graduate Research School. There are a number of possible outcomes from the examination process and the Examination Panel are required to identify the one recommended as the most appropriate for the student.

- Outcome 1:**           **That the student be awarded a doctoral degree;**
- Outcome 2:**           **That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor or nominee;**
- Outcome 3:**           **That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) as appropriate;**
- Outcome 4:**           **That the student be required to revise and resubmit for further examination within a specified time;**
- Outcome 5:**           **That the thesis is not of an acceptable standard and the degree not be awarded;**

## **Oral Examination**

The Convenor is responsible for overseeing the arrangements for the oral examination in conjunction with the GRS.

### **Pre-meeting for Oral Examination**

In order to ensure the student is familiar with the format of an oral examination, a pre-meeting will be held with the Convenor, supervisor(s) and student, one week prior to the actual examination.

At least one of the supervisors will be required to attend the pre-meeting and be available afterwards to discuss the examiners' reports with the student.

At this meeting the Convenor will explain the oral examination process to the student, disclose the identity of the examiners and provide anonymised copies of the examiners reports. Normally, these will not be made available outside this meeting. However, where a pre-meeting occurs less than one week prior the reports will be emailed to the student and supervisors separately.

## Primary Supervisor's Report

### Form PGR23– Primary Supervisor Report

Where special circumstances exist, that examiners should be made aware of, the primary supervisor should provide a report. This will be discussed with the Convenor at the pre-meeting for the oral examination.

## Oral Examination Process

### Form PGR11 – Appointment of Examiners

### Form PGR13 – Oral Examination Panel Report

**Note:** *The timetabling of the oral will only be scheduled around the availability of the student, examiners, Convenor, and primary supervisor.*

Students will be required to present in person for an oral examination. However, if there are extenuating circumstances as to why a student is unable to present in person, then the primary supervisor will be required to apply to the University Postgraduate Board for an exemption. This should be done at the time of submitting the PGR11 form.

The purpose of the oral examination is to:

- Examine the student's original contribution to knowledge in their chosen discipline or field of study/practice;
- Examine the student's critical judgement and understanding;
- Distinguish between the student's contribution and any contributions from other sources to the thesis;
- Enable the student to coherently and competently defend their thesis.

Normally, the scheduling of the oral examination takes place within one to two month of receipt of all the examiners' reports. The oral examination panel normally consists of a Convenor and all examiners, with at least one New Zealand examiner present (either in person or via video-conference). Video/ teleconferencing will be arranged through the GRS.

The Convenor will chair the oral examination, ensuring that the questions raised in the examiners' reports are put to the student during the examination. A discussion between the Convenor and examiners will determine the order of questioning and who will present the absent examiner's questions will occur prior to the student being invited into the room. The Convenor will not interfere with the questioning and will not comment on the student's thesis.

### Role of the Supervisors

At least one of the supervisors will be required to attend the oral examination, providing points of clarification when necessary as requested by the Convenor and to provide collegial support for the student. The GRS will invite all members of the

supervisory team to attend the oral examination to provide support for the student. If neither supervisor is able to attend the examination due to exceptional circumstances, the Associate Dean (Postgraduate) must nominate a faculty representative to attend in their place.

Students may invite friends or family as support. However, they will not be permitted to be present in the examination room.

## Outcome

At the conclusion of the oral examination, the Panel will attempt to reach a consensus on the final recommendation. If the Panel reaches agreement, the Convenor will complete the PGR13 and write a brief report on the oral examination and submit this report along with the summary recommendation to the GRS for the next meeting of the University Postgraduate Board.

As mentioned on page 121, the possible outcomes are:

**Outcome 1:            That the student be awarded a doctoral degree**

This does allow the student to address any typographical errors and minor editorial matters.

**Outcome 2:            That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor or nominee;**

These include more than superficial editorial amendments.

Normally, minor amendments take up to one month.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary. When these required amendments have been completed to the satisfaction of the nominee(s) specified in the Convenor's summary, that person will forward a Form PGR14 to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

**Outcome 3:            That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) as appropriate;**

These include more than minor amendments and can include rewriting a chapter reorganising material in the thesis, improving

or clarifying an argument, omitting or deleting sections of the thesis.

Normally, amendments take up to six months.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the Convenor's summary, that person will forward a Form PGR14 to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

**Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;**

This outcome means the student does not meet the criteria for examination:

- There is limited or no internal consistency;
- More data is required;
- There are methodological issues;
- Multiple chapter changes;
- One or more of the above may include an in-depth re-writing of the literature review.

The examiners may recommend that the thesis be revised and resubmitted either:

- In their reports; or,
- As a result of the oral examination.

In the first instance the Dean of the Graduate Research School or nominee/Convenor will contact the examiners and seek consensus (where they are not unanimous) and the revisions will be agreed to. The oral examination will be held after the revisions have been completed.

In the second instance the revisions will be recorded in the examination. On resubmission, the examiners will be asked to assess whether a second oral examination will be required.

Students will be given the opportunity to proceed with the oral examination if they wish.

Normally, revisions take up to twelve months.

**Outcome 5: That the thesis is not of an acceptable standard and the degree not be awarded;**

Should all examiners recommend that the thesis be failed, the oral examination will still proceed in order to give the student the opportunity to defend their thesis.

In this situation the thesis cannot be resubmitted for the same degree. In consultation with the examiners, and with the permission of the University Postgraduate Board, a revised thesis may be submitted for a lesser degree. Where it is recommended that the degree not be awarded, and no re-examination is permitted, the examiners shall prepare an agreed statement of deficiencies of the thesis, and the reason for their decision, which can be forwarded to the student through the University Postgraduate Board.

### **Recommendation for the Award of the Degree**

Where recommendations and reports are unanimous, the University Postgraduate Board accepts recommendations; where these are not unanimous the Board:

- Accepts a majority recommendation (where the majority includes external examiner recommendations); or
- Accepts the recommendations of external examiners.

125

If the Examination Panel is unable to reach agreement on the outcome of the examination process, the Convenor will seek approval from the University Postgraduate Board to proceed with an alternative action (including further assessment of the thesis) in order to resolve any impasse.

### **Amendment Submission**

#### **Form PGR14 – Amendments**

The student will be advised what amendments are necessary, verbally and in writing. Where clarifications are needed on the required amendments, the student or primary supervisor may contact the GRS. When the required amendments have been completed to the satisfaction of the nominee(s), specified in the Convenor's summary, that person will forward a PGR14 – Amendments form, to the GRS confirming that all the corrections have been completed satisfactorily.

Amendments are to be made to the final copy of the thesis. The GRS will then notify the UPB and recommend to Academic Board the award of the degree.

For outcome 3, amendments can be submitted for sign off no more than twice. Where amendments have failed to be successfully completed after the second submission,

the outcome recommendation will be rescinded and the thesis will be deemed as not of an acceptable standard and the degree not awarded.

### Release of Information

Recommendations on the outcome and/or amendments to the thesis, either by the examiners or the Examination Panel, will normally be advised to the student and supervisor(s) at the conclusion of the oral examination.

The determination of the University Postgraduate Board will be conveyed in writing to the student by the Graduate Research School. The University Postgraduate Board will recommend that Academic Board approve the awarding of degrees to those students who have fulfilled all graduation requirements.

Examiners will be asked to return their copies of the thesis. Occasionally an examiner will ask to keep a copy of the thesis. Such requests will be passed on to the student after the examination process is complete.

It is the practice of the University that the outcome of the student's degree be formally acknowledged to the examiners by the Graduate Research School.

## Revise and Resubmit Process

### Form PGR20 – Revise and Resubmit

**Note:** *Students entering the revise and resubmit process from 1 June 2019 to 31 December 2019 may opt to have an assessor, and from 1 January 2020 there will be no assessor process during the revise and resubmit process.*

### Outcome

Students must be able to complete the changes for the revised thesis within the timeframe agreed by the University Postgraduate Board as recommended by the examiners. This will normally be for a period of up to 12 months. If this is not possible, the student may not be awarded the degree.

### Process for Revision

The purpose of the revision period is to complete the revisions as defined by the examiners. During this period students will be enrolled and supervised to act as an independent researcher.

The Associate Dean (Postgraduate) will oversee the resubmission process against an agreed plan. The supervisors are responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a PGR20 – Revise and Resubmit Doctoral form outlining criteria where the examination criteria have not been met and detail the revisions required.

If required, an experienced supervisor (who may be external from the Faculty) may be

appointed, with expertise in methodology and/or area of scholarly inquiry, to work with the supervisory team. The following is required:

- An agreement which details a plan with specific milestones and timetable for resubmission;
- Meeting schedule, is to be signed by all parties and sent through the Faculty Postgraduate Committee to the University Postgraduate Board.;
- Any deviation to the agreed plan must be discussed with the Associate Dean (Postgraduate) and reported to the University Postgraduate Board.

The student will be required to re-enrol and pay fees for the period agreed to for the revisions to be undertaken.

The normal support the student will receive through the resubmission includes a schedule of meetings between the Associate Dean (Postgraduate) and/or supervisor and the student:

- Where a six month resubmission is decided, monthly meetings are required;
- Where a twelve month resubmission is decided, two-monthly meetings are normally required;
- Where the student is not meeting the milestones detailed in the plan the student's candidacy will be discontinued, and a DNC grade will be entered;
  - A student not meeting their milestones in the agreed plan will receive a final warning after the first set of milestones have not been met
- A student is required to submit a PGR8 Progress Report every three months, however these may increase in frequency as determined by the Associate Dean (Postgraduate). The PGR8 should detail any unsatisfactory progress, where applicable;
- The Associate Dean (Postgraduate) will provide monthly verbal updates to the University Postgraduate Board.

### **Process for Resubmission**

Following the completion of the revisions, prior to re-examination, the normal doctoral submission process will be followed, e.g. completion of a PGR12 form (see Submission for Examination details on page 118).

### **Types of Re-Examination**

There are a number of types of re-examination:

1. A re-examination of the thesis after revision and the holding of an additional oral examination;
2. The thesis only to be re-examined after revision;
3. An additional oral examination (without the need to revise or resubmit the thesis);
4. The holding of a different form of examination to test the student's knowledge.

## Re-Examination

Once the revisions are successfully completed, the standard examination processes should be followed, in the same manner as the first examination. At the discretion of the University Postgraduate Board, the revised thesis may be sent to those examiners wishing to re-examine. Where an original dissenting examiner declines to re-examine, another examiner will be appointed. This examiner may be the reserve examiner appointed for the original examination. Where examiners are unable to agree on an outcome for the second examination the University Postgraduate Board may consider appointing additional examiners or a moderator.

For students whom a revise and resubmit outcome was determined at the oral examination, the examiners will determine if a subsequent oral examination is required or if the examination of the thesis only is sufficient. For students whom a revise and resubmit outcome was determined during the writing of the examination reports of the thesis will be required to undertake an oral examination.

The student will be permitted to submit the thesis for re-examination only once. Examiners will be informed that there will be no option to recommend a further revise and resubmit.

The Convenor for the initial oral examination will normally be re-appointed and provided with an update that the revisions had been made on re-submission by the Graduate Research School.

## Final Outcome

A student who has been required to revise their thesis may not have a further outcome of revise and resubmit. The outcome must be either a pass or fail. A pass grade can be awarded with amendments, which need to be completed within the allocated timeframes – see pages 123–125 for amendment timeframes.

Where examiners recommend that a student be awarded a fail grade will be given the opportunity to request an oral examination if they wish. Students who are not awarded the doctorate may be awarded a lesser degree, refer to page 125 'Outcome 5'.

## Examination of Practice-Oriented Research

In addition to previously stated examination processes, the examination of creative works requires further points of consideration stated below.

*Three to six months prior* to the creative examination the supervisors and Postgraduate Head are to meet with the Graduate Research School Examinations Officer to discuss the logistics of the examination. The following is to be discussed and confirmed:

- What form the examination will take;
- Scheduling, including viewing of the work and oral examination;
- Confirmation of the examiners (The Appointment of Examiners form –PGR11,



- having obtained sign off from the Head of School);
- The School's PhD programme leader is to be included in all communications;
- Nature of Practice-Oriented Examinations.

The creative research examination may take one of two forms:

- Where the artefact or other approved output is sent to the examiners, along with the exegesis. (In such instances the examination will be managed in a similar way to traditional theses);
- Where the examiners are required to attend a performance/exhibition in person.

## **Appointment of Examiners – Practice-Oriented**

### **Form PGR11 – Appointment of Examiners**

The primary supervisor should informally approach examiners approximately six to nine months prior to the expected date of submission regarding their ability and willingness to examine. The supervisor should also discuss the following with the examiners:

- That they may be required to be present for the exhibition/performance;
- Tentative timeframes for the oral examination;
- Advise that they will be required within one to four months to attend the oral examination by video conference.

129

Doctoral theses are normally assessed by two examiners, one New Zealand based examiner, and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than three doctoral theses.

In exceptional circumstances one may appoint more international examiners but a thorough justification will be necessary. All examiners must attend an exhibition/performance in person.

Once the examiners have been formally approved, the Graduate Research School coordinates with the examiners a timeline for the examination as well as organising any travel and accommodation arrangements.

At this point, there must be no further contact with the examiners from the supervisors and student.

## **Submission of the Exegesis – Practice-Oriented**

### **Form PGR12 – Lodgement of Thesis for Examination**

A student must lodge one digital copy of the doctoral exegesis for examination with the faculty postgraduate office, accompanied by an electronic copy of the completed PGR12 'Lodgement of Thesis for Examination' form. Lodgement of the exegesis and form need to be approved by the Associate Dean (Postgraduate), or delegated

authority. The electronic copy of the thesis and PGR12 form are then forwarded to the Graduate Research School for examination.

There are two options for the submission of the exegesis.

**Option 1: Where the exegesis is completed prior to examining the practice.**

The exegesis will be submitted at least four weeks prior to the examination. This is the current 'normal' submission process.

The examination will normally commence with the viewing of the work. The student will normally be present to provide clarification when necessary. The primary supervisor may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and be given three weeks to write their reports which will be provided to the student and supervisors one week prior to the oral examination.

**Option 2: Where a reflection and final refining of the exegesis follows the examined exhibition or performance.**

**Note:**

- *This option requires sign off approval by the student's supervisors and the degree Programme Leader.*
- *The student is considered to be under examination throughout this entire process.*

An exegesis summary document will be provided to examiners at least four weeks prior to the examination of the practice. This document, of approximately 3000 words, will comprise an abstract, outline of the research aims and significance, key literature and methodology and may be in the form of an exhibition catalogue.

The examination will normally commence with the viewing of the work. The student is required to be present to provide clarification when necessary. The primary supervisor may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and the exegesis will be submitted within three months. Once the examiners receive the exegesis they will be given three weeks to complete their reports which will be provided to the student and supervisors one week prior to the oral examination

**Pre-meeting for Creative Works**

**Student:**

The Convenor is responsible for overseeing the arrangements for an oral examination in conjunction with the Graduate Research School.

In order to ensure the student is familiar with the format of the examination, a pre-

meeting will be held with the Convenor, primary supervisor and student, one week prior to the exhibition/performance and the identity of the examiners will be disclosed.

A further pre-meeting will be held one week prior to the oral examination where the examiners reports will be provided to the student and supervisors. At this meeting the Convenor will explain the oral examination process to the student.

**Examiners:**

The Convenor will meet with the examiners prior to the viewing of the work to discuss and outline the oral examination process.

**Outcome and Recommendations of the Performance/Exhibition**

If the Examination Panel is unable to reach agreement on the outcome of the oral examination process, the Convenor will seek approval from the University Postgraduate Board to proceed with other courses of action (including further assessment of the exegesis or creative work) in order to resolve any impasse.

Recommendations on the outcome and/or amendments, either by the examiners or the Examination Panel, will normally be advised to the student and supervisor(s) at the conclusion of the oral examination.

# MASTER'S AND BACHELOR WITH HONOUR'S EXAMINATIONS

## NOTE

### Examiner Communication

Once the student's work has been lodged for examination, there must be no direct communication between the student or supervisors and any of the examiners. All communication with examiners will be conducted through the GRS.

### Practice-Oriented Examination Process

Much of the process for the examination of practice-oriented work is similar to that outlined as follows. However, there are differences in the processes required. A separate section highlighting the differences is included at the end of this section.

### Examination Timeframe

Examiners are asked to provide their reports within six weeks of receiving the thesis/dissertation.

Students may contact the GRS to enquire about the progress of the examination. Students should be aware however, that no information (verbal or written) will be given about the recommendations of the examiners until such time as deliberations on the outcomes of the examination process have been completed.

Until the faculty postgraduate examination board has made its determination on the outcome of the examination, the recommendations must remain confidential. The content of examiner reports remains confidential to the faculty postgraduate examination board and/or the University Postgraduate Board. The entire examination process and determination of a final grade may take up to three months.

Students should note that this timeframe is a guideline only and that the examination process may extend past this period. The GRS maintains contact with the examiners to monitor progress.

### Graduation Timeframe

Students should also be aware that, in order to graduate at one of the University's graduation ceremonies, the examination process and consideration of recommendations by the University Postgraduate Board must normally be complete at least six weeks before the ceremony, including the completion of any amendments.

# Appointment of Examiners

## Form PGR11 - Appointment of Examiners

The examination process starts before the thesis/dissertation has been completed. Three months before a thesis/dissertation is likely to be ready for examination, students should alert their primary supervisor so that the appointment of examiners can be arranged. The primary supervisor or programme leader should informally approach examiners regarding their ability and willingness to act before the thesis/dissertation is expected to be submitted.

Theses and dissertations greater than 60 points are examined by a minimum of two examiners, one of whom should be an independent external examiner. Supervisors may not examine the theses/dissertations of their students greater than 60 points.

Dissertations of 60 points or less will normally be examined by two internal examiners. Where appropriate, an external examiner may be appointed. A supervisor may be appointed as one of the examiners. However, in these instances, a moderator is required. Where a student has more than one supervisor, only one supervisor may act as an examiner.

**Note:** *For research that is 60 points or less, and a supervisor has been appointed as one of the examiners an independent moderator is required to be appointed for a cohort of students' dissertations or research projects. The main purpose of moderation is to ensure that the student work has been marked fairly and that the grade awarded is appropriate along with:*

- *Ensuring consistency of interpretation of standards in relation to the assessment criteria;*
- *Ensuring consistency of marking across assessment of student work in the project or dissertation;*
- *Checking consistency using a pre-approved moderation process. Moderation can occur prior to approval of grades or after approval of grades.*

## Examiner Nomination

Examiners are nominated by the primary supervisor, in consultation with the supervisory team, and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted.

Students may initiate with their primary supervisor and/or Faculty Associate Dean (Postgraduate), a discussion as to the range of possible examiners. Students may also indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. The Faculty Associate Dean or the supervisors may also initiate this discussion. The overall process of appointment of examiners should not result in the student being given the names of the examiners finally recommended. Care must always be taken not to jeopardise the integrity and independence of the examination process.

All nominations for the appointment of thesis/dissertation examiners are to be forwarded by the primary supervisor to the faculty postgraduate committee.

### **Conflict of Interest**

Normally, no examiner should have been a supervisor for the student at any stage nor have had any input or involvement in the research. It is highly recommended that supervisors do not overuse individual examiners. A Conflict of Interest Protocol is available on the AUT website:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

### **Examiners' Experience**

All examiners should normally have experience in the discipline and or methodology of the thesis/dissertation being examined. Examiners' are also expected to hold a qualification of an equal, or higher level, than the one they will be examining.

At least one of the nominated examiners must have previous experience in the examination of theses and/or dissertations at that level or higher. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae).

### **Formal Appointment**

Once the recommended examiners are approved, the Graduate Research School (GRS), on behalf of the University, formally invites the examiners to confirm their willingness to act in this role and their ability to provide a report within the specified time frame (usually six weeks from receipt of the thesis/ dissertation). Normally, the formal invitation would take place prior to the thesis/dissertation being submitted and with sufficient time to call on reserve examiners, or to arrange new examiners if the original nominees are for some reason unable to undertake the role.

Examiners are provided the details of the student, supervisors and research title and asked if they have a conflict of interest.

In the event of a delay of more than six months in the lodgement of the thesis for examination, the primary supervisor should reconfirm the examiners' availability and inform the GRS who will notify the examiners of the delay.

### **Payment of Honoraria**

At the discretion of the Faculty, an honorarium may be paid to external examiners. The normal amount is approved annually by the University Postgraduate Board. On receipt of the report from each examiner, the GRS arranges for payment of the honorarium, if applicable. Honoraria for Bachelor's with Honours and Master's examinations are not normally paid to examiners in the wider university community.

## Key Points to Note When Considering the Appointment of Examiners

### Staff Members

Where a student is also a member of staff, all examiners are to be external to the University. If a staff member is allied or professional they may have an internal examiner appointed where there is no conflict of interest and it is agreed by the Associate Dean (Postgraduate) in consultation with the Dean of the Graduate Research School.

### Reserve Examiner

While a reserve examiner is not required; a reserve examiner should be considered. This can shorten delays where an original examiner becomes unable to participate at any stage of the examination or an additional examiner is required. The reserve examiner should also be informally approached to take part in the examination where required. The GRS will send a formal invitation.

### Mentor Examiner

It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. The examiner mentor is to be an AUT staff member and is not required to read the thesis but is required to answer questions on the examination process. The faculty should notify the mentor that they have been appointed when the examiners are approved.

### Internal and External Examiners

An external examiner is defined as a person who is not employed as a member of staff of AUT at the time when invited to examine the thesis. An AUT staff member who has left the University would still be considered 'internal' for up to three years.

### Confidentiality/Embargoes

#### Form PGR16 – Application for Embargo

Where an embargo has been approved all examiners will be required to sign a confidentiality agreement prior to the thesis being sent to them.

Students should normally apply for an embargo with their PGR1. However, they may also apply to have an embargo for their thesis/exegesis at the time of lodgement for examination by using form PGR16 – Application for Embargo.

It is important to note that, due to the additional administration involved in processing confidential material, there may be a delay in the examination process while the University waits for a signed confidentiality agreement from all examiners unless the request is submitted with the PGR11, prior to submission.

Notification of embargoes subsequent to the dispatch of the thesis for examination will not result in appropriate confidentiality agreements being arranged with examiners. Please also refer to the 'Confidential Material' section on page 82 for guidelines and processes.

## Submission for Examination

### Form PGR12 - Lodgement of Thesis for Examination

A student must lodge one digital copy of the thesis for examination with the faculty postgraduate office (submitted electronically to the Faculty/School Postgraduate Administrator), accompanied by an electronic copy of the completed PGR12 'Lodgement of Thesis for Examination' form. If an examiner requires a hard copy, the examiner will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment.

Lodgement of the thesis and form need to be signed off by the student's supervisors and approved by the Associate Dean Postgraduate, or delegated authority. The electronic copy of the thesis and form are then forwarded to the GRS for examination.

The submitted electronic digital copy must include a signed Attestation of Authorship Statement (see page 108).

### Declaration of Suitability for Examination

The supervisory team and Associate Dean (Postgraduate), or delegated authority, are required to declare that the thesis is of a suitable standard for examination. This relates to the presentation of the thesis, including appropriate structure/format, legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication of the quality of the work. The University will normally not proceed with the examination of a thesis considered not to be in a suitable form for examination.

A checklist for supervisors that covers all aspects of what should occur for the submission process is available on the GRS web-site.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

### Submission Against Supervisor Advice

It is important to note that a student has the right to request that the thesis/dissertation be examined, even though the supervisor(s) may not believe it to be of a suitable standard. Such instances must be clearly identified on the lodgement form, which must have statements from the supervisor(s) and the student outlining the circumstances attached to it.

Where the Faculty Associate Dean Postgraduate or delegated authority is not prepared to sign off for examination, this should also be noted on the PGR12 along with an explanation of the reason. In such circumstances the GRS will consult with the Dean Postgraduate Studies on appropriate action.

### Attestation of Authorship

On the first page after the table of contents, students should attest and sign, certifying the original authorship of the thesis, a declaration. The style and reference for this can



be found on page 108.

### Turnitin

It is compulsory that theses and exegeses, except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination in order for students to check that all work from other sources are referenced correctly. Students are required to submit their research through Turnitin and then discuss the similarity report that is produced with their primary supervisor. Supervisors are required to check the similarity report and indicate that this has occurred on the Lodgement for Examination (PGR12) form.

Workshops will be provided for supervisors through the Supervisor Workshops offered through the GRS's Researcher Development unit; supervisors can email [supervisor.workshops@aut.ac.nz](mailto:supervisor.workshops@aut.ac.nz) to register.

**Note:** *Turnitin is available for research submissions through the PGMe Organisation on Blackboard. It is important that students use this version rather than any other version of Turnitin available through other course organisations available to students from previous enrolments. The PGMe instance of Turnitin allows research students' to submit their work without information being stored within the Turnitin database. If Turnitin is used from other areas in Blackboard a copy will be saved on Turnitin's database.*

137

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### Dispatch

Once the electronic copy of the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. The examiners are also sent a copy of the University's briefing pack for examiners and informed of the date their reports are due.

The GRS will notify students and their supervisors once the thesis is sent.

**Note:** *Theses will not proceed for examination if there are any outstanding fees.*

## Examiners' Reports

Each examiner is asked to examine or consider the student's thesis/dissertation, and present an independent report to the Graduate Research School under the following areas (as indicated in the table overleaf):

- Formulate the research question or define the research issue;
- Critically review knowledge relevant to the thesis/dissertation;
- Plan a research project that executes the selected methodology and methods tools that address the question or issue;
- Provide a critical commentary on the research process and outcomes;
- Reflect on and evaluate the significance of the research in the discipline area;
- Present research thesis/dissertation at a scholarly level.

Examiners should view the overall performance of the students in relation to peers on comparable programmes. The criteria in the following grid are provided to examiners to guide the thesis/ dissertation/exegesis grading process:

For Format 3 (practice-oriented) students, the following should be considered in relation to Criteria 1-6 below:

Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
Demonstrates a comprehensive depth in the resolution practice presented.	Demonstrates a resolution in the practice presented with comprehension of the key issues.	Demonstrates resolution in practice presented.

1. Formulate the research question or define the research issue.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
In-depth analysis of the question/ issues is informed by the rationale underlying the study and is based on appropriate evidence and creative processes.	Analysis of the question/ issues based on evidence and rationale for the research is evident.	Adequate development of analysis in answering the stated hypothesis/ question/issues.
Competence in clearly articulating a research question or issues.	Appropriate presentation and some elaboration of the research question/ issues, the research process and analysis.	Major points relevant to the research question/ issues presented with evidence of the integration of ideas.
Clear presentation and elaboration of the research question/issues, the research process and analysis.		
2. Critically review knowledge relevant to the thesis/dissertation.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
Sound knowledge of the subject area.	Good overall in knowledge of the subject area.	Satisfactory overall knowledge of subject area.
Evidence of an in-depth comprehension of the literature relevant (for example text or artefact) and appropriate to the research context with key issues raised.	Evidence of reading across the research context, with comprehension of key issues.	Evidence of reading across the research context.
Comprehensive and consistently reported bibliography.	Bibliography reflects critique.	Basic ability to evaluate and critique referenced material.
A high level of synthesis and critique of the relevant literature, text or artefact.	Critique of literature, text or artefact and some evidence of synthesis.	Adequate comparisons made with cited literature, text or artefact.

3. Plan a research project that executes the selected methodology and methods/ tools that address the question or issue.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
Clearly articulated and sound rationale for the methodologies and methods adopted (through, for example, explicit validation processes and/or critique of other available approaches). Including ethical approval (as appropriate), and data analysis.	Some discussion of a range of methodologies and methods with justification of methodologies adopted. Including ethical approval (as appropriate), and data analysis.	Acknowledgement of weaknesses / strengths of the methodologies and methods adopted. Including ethical approval (as appropriate), and data analysis.
Confident and imaginative execution of research methods.	Appropriate execution of research methods.	Adequate defense and execution of research methods.
4. Provide a critical commentary on the research process and outcomes.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
Mastery of the research process.	Clear understanding of the research process.	Understanding of the research process evident.
Ability to draw sound conclusions or findings through the research conducted.	Critique and discussion evident of findings: conclusions, implications and significance.	General implications and significance of findings discussed appropriately.
A clear demonstration of originality or innovation in research outcomes.	A good demonstration of originality or innovation in research outcomes.	Some demonstration of originality or innovation in research outcomes.
5. Reflect on and evaluate the significance of the research in the discipline area.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
A clear and substantial articulation of the significance including limitations, implications and recommendations as appropriate.	Clear articulation of the significance including limitations, implications and recommendations as appropriate.	Some articulation of the significance including limitations, implications and recommendations as appropriate.

In-depth evaluation & reflection evident in relation to the significance of results, their limitations, implications and relation to the wider literature on the topic.	A good level of reflection and evaluation evident.	Some reflection and evaluation evident.
<b>6. Present research thesis/dissertation at a scholarly level.</b>		
<b>Grade Range A (A+, A, A-)</b>	<b>Grade Range B (B+, B, B-)</b>	<b>Grade Range C (C+, C, C-)</b>
Demonstrates significant capacity to present at a scholarly level.	Presents at a scholarly level supported by appropriate application.	Referencing and presentation appropriate.
Thesis is highly organised and integrated. The intent of the researcher is explicit and expressed with clarity and insight.	Thesis is well organised and integrated.	Thesis is organised and integrated.
An in-depth articulation of the communication frameworks used.	A clear articulation of the communication frameworks used.	Presents the communication frameworks used.

Where the student exceeds the criteria in a particular grade range examiners may award the grade with a '+' qualifier.

Where the student meets the criteria in a particular grade range examiners may award the grade as specified.

Where the student does not meet the criteria completely in a particular grade range but not to the extent of awarding a lower grade examiners may award the grade with a '-' qualifier.

## Examiners' Recommendations

Examiners are required to make a recommendation using the report template, which includes their written report, and return it to the Graduate Research School of AUT with their written report. There are a number of possible outcomes from the examination process and the Examination Panel are required to identify the one recommended as the most appropriate for the student. The possible outcomes are:

**Outcome 1: That the student be awarded a pass grade for the thesis/dissertation/exegesis;**

This does allow the student to address any typographical errors and minor editorial matters.

**Outcome 2: That the student be awarded a pass grade for the thesis/dissertation/exegesis subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor or nominee;**

These include more than superficial editorial amendments.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the examiners' reports, that person will forward Form PGR14 to the faculty postgraduate office (Graduate Research School for Master of

Philosophy) confirming that all the corrections have been completed satisfactorily. For the Master of Philosophy, the Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

**Outcome 3: That the student be awarded pass grade for the thesis/dissertation/exegesis subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) as appropriate;**

These include more than minor amendments and can include rewriting a chapter, reorganising material in the thesis, improving or clarifying an argument, omitting or deleting sections of the thesis.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the examiners' reports, that person will forward Form PGR14 to the faculty postgraduate

office (Graduate Research School for Master of Philosophy) confirming that all the corrections have been completed satisfactorily. For the Master of Philosophy, the Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

**Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;**

This outcome means the student does not meet the criteria for examination:

- There is limited or no internal consistency;
- More data is required;
- There are methodological issues;
- Multiple chapter changes;

The above may necessitate an in-depth re-writing of the literature review.

**Outcome 5: That the work is not of an acceptable standard and a fail grade be granted for the thesis/dissertation/exegesis;**

A fail grade will be awarded to the research and may not be re-submitted for further examination

## Outcome

### Processing of Examiners' Reports

All examiners' reports are treated as strictly confidential. The Graduate Research School will forward copies of the reports when all have been received, to the appropriate examination board for consideration.

On receipt of the examiners' reports, the Associate Dean (Postgraduate) (or delegated authority) convenes a meeting of the examination board. In the interests of maintaining confidentiality, these copies are collected and destroyed at the end of the meetings.

Principles underpinning the determination of master's and bachelor's with honours thesis and dissertation examinations:

- The examination board is the overall assessment panel and may delegate to a subgroup to prepare for them;
- The assessment panel must include a person with specialist knowledge;
- A sub-group assessment panel could make recommendations to the examination board through the Associate Dean (Postgraduate) or delegate to ensure consistency of process;

The examination board considers recommendations with the examiners' reports to approve the final grade.

Where recommendations and reports are unanimous or represent a grade difference of two grade points (e.g. B-, B+) the faculty examination board determines the outcome.

Where one of the recommendations is 'revise and resubmit' and the other recommendation is a 'passing' grade, then a third examiner will be appointed and the thesis/dissertation sent for further examination.

Where the recommendations differ more than two grade points, the examination board may:

- Accept the recommendations of external examiner(s); or
- Ask the Associate Dean (Postgraduate), and the Head of Postgraduate or nominee, to confer with the examiners for a resolution of grade; or
- Appoint a moderator to review the reports according to the process below; or
- Recommend the appointment of an additional external examiner, or internal examiner where authorised by the Associate Dean (Postgraduate); or
- Accept a majority recommendation (where the majority includes external examiner recommendations).

144

### **Appointment of a moderator**

For the examination board to appoint a moderator they must ensure the moderator has:

- A doctoral qualification;
- Demonstrated experience as an examiner;
- Successfully supervised a doctoral thesis to completion;
- Not been involved with the thesis/dissertation being moderated.

### **Moderation of examiners' report process**

Where the Faculty Postgraduate Examination Board appoints a moderator, the moderator will:

- Consult the thesis;
- Review the examiners reports in relation to the assessment criteria on pages 138-141; and
  - Write a report which advises the Faculty Examination Board. The report will provide the Faculty Examination Board the information that will assist in a final decision. The report will not be made available to the student with the examiners' reports.



## Amendment Submission

### Form PGR14 – Amendments

Where alterations/amendments or corrections are required, it is the responsibility of the Associate Dean (Postgraduate) or delegated authority, the primary supervisor and/or the programme leader to prepare a report of the required changes.

The student will work with the primary supervisor on the required amendments (if any) and the supervisor will lodge a PGR14 form with the faculty confirming that the required amendments have been completed satisfactorily.

Once the amendments have been made, it is the primary supervisor's responsibility to complete the PGR14 form. The normal timeframe for the completion of amendments is six weeks but this may vary according to their size and nature.

The final grade for the work will not be released until all amendments have been completed and signed off. If the required amendments are not made within this timeframe then the student would normally receive a DNC (fail) grade for their research. An extension may be negotiated at the student's request.

### Master of Philosophy

For the Master of Philosophy, the faculty will enter the final grade and level of Honours (if any) on ARION and forward the PGR14 to the GRS once any amendments have been made. Upon receipt of the PGR14, the GRS will advise the University Postgraduate Board and confirm the award of the degree on ARION.

145

## Examination of Practice-Oriented Research

In addition to previously stated examination processes, the examination of practice-oriented research requires further points of consideration stated below.

### Nature of Practice-Oriented Examinations

The creative research examination may take one of two forms:

- Where the artefact is sent to the examiners, along with the exegesis. (In such instances the examination will be managed in a similar way to traditional theses).
- Where the examiners are required to attend a performance/exhibition in person.

### Appointment of Examiners – Practice-Oriented

#### Form PGR11 – Appointment of Examiners

Where the thesis/dissertation involves creative work (as for the MDes and MVA), the Creative Work (Exhibition/Performance) section of the Appointment of Examiners Form must be completed. Full details of the date, time and venue of the exhibition/performance should be completed by the supervisor/programme leader and submitted to the faculty postgraduate office.

It is the responsibility of the student, in consultation with the primary supervisor, to

arrange for the installation and the venue for an exhibition.

### **Submission**

Students must submit one digital copy of their exegesis to their respective Postgraduate Coordinator/Administrator at least four weeks prior to their examination. If examiners require a hard copy, the examiners will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment.

The supporting exegesis will normally be sent by the GRS to the examiners four weeks prior to the exhibition.

Examiners will assess visual work in situ at the exhibition site (normally 2–3 hours).

The student may present contextual material at the examination and should be available to discuss details of the work, if required.

In the case of a visual submission presented at an exhibition, the travel arrangements will be organised by the School in conjunction with the faculty postgraduate office, respecting the confidentiality of examiners. The details of the exhibition (dates, times and location of exhibition) are to be provided on the relevant section of the PGR11 by the faculty postgraduate office.

146

It is the responsibility of the faculty postgraduate office to communicate with examiners regarding their availability for attending the exhibition and travel arrangements (if required) prior to completing the PGR11.

Students and supervisors should be made aware of the time frames for their examination process. Exhibition dates should be arranged at an appropriate time, taking into account the exegesis lodgement date.

At this point, there must be no further contact with the examiners from the supervisors and student.

### **Examination Process**

There are two examination options available. Individual Examination and Panel Examination. Both processes will include an appointed Convenor, who is a senior lecturer or above, experienced in assessment at this level. A Convenor cannot reside in the discipline area or be a supervisor for the student being examined. The Convenor plays a neutral role; they are responsible for overseeing that all recommended examination procedures are correctly employed and to ensure all examiners have a voice throughout discussion. They should not wield any influence as to examination grade outcomes.

#### **Individual Examination**

Two examiners are appointed both of whom are qualified or have expertise in the relevant field. One examiner will be an external examiner who is not a staff member

at AUT.

The Convenor's role is to ensure that correct protocols and procedures are followed, so that:

- The procedure is consistent and fair for the student;
- Discussion is conducted in a professional manner;
- Observers, or participants being mentored, do not engage in discussion or determination of outcomes or grades for any student;
- Appropriate confidentiality is maintained around the examination process, and that any communication around the examination is conducted through the Convenor directly (and only) with the Graduate Research School (GRS).

### **Panel Examination**

Normally three to five members examine the thesis, each appropriately qualified or has expertise in the relevant field. One member of the panel will be an external examiner who is not a staff member at AUT.

The Convenor's role is to facilitate the Panel as they work to:

- Establish a balanced overview of the qualities of each student's presentation;
- Establish points to form the basis of a report;
- Achieve a consensus on the outcome and grade to be recommended for each student, in accordance with guidelines and criteria given in this Briefing Pack. Importantly, the Convenor's responsibility is to ensure that correct protocols and procedures are followed, so that:
  - The procedure is consistent and fair for each student;
  - Discussion within the panel is conducted in a professional manner;
  - Individual voices on the examination panel do not get lost or swamped;
  - The independent voice of the external examiner is protected, acknowledged and registered;
  - Consensus is achieved in a manner that is representative of collective opinion;
  - Observers, or participants being mentored, do not engage in discussion or determination of outcomes or grades for any student;
  - Correct procedures are implemented where consensus is uneasy, fails, or does not correlate with the panel discussion as appraised by the Convenor;
  - Appropriate confidentiality is maintained around the examination process, and that any communication around the examination is conducted through the Convenor directly (and only) with the Graduate Research School (GRS);
  - The individual student final reports are reflective of the panel consensus, do not contain names of panel members or any indication of grades, and are otherwise fit to be submitted to the GRS.

The Convenor records for each student the recommended grade arrived at by consensus of the examining panel and the recommended examination outcome<sup>1</sup>.

## Release of Information

Until the examination board has made its determination on the outcome of the examination, the examiners' recommendations must remain confidential. The content of examiners' reports remains confidential to the examination board and/or the University Postgraduate Board. The entire examination process and determination of a final grade may take up to three months.

### Release of Examiners' Reports

It is the policy of the University that the faculty postgraduate office will normally give students and supervisors copies of the examiners' reports when the examination process has been completed. Reports will not normally include the name of the examiner, recommended grade, or any other information that may identify where the examiner is from. Where examiners agree that their details may be disclosed to students, these will be provided.

Supervisors do not normally receive the full examiners reports unless they are part of the examination/assessment process.

For the purposes of professional development; where requested by an examiner, the Faculty will make anonymised copies of the other examiners reports available. Where an examiner requests the outcome of the student's examination, the faculty will release the outcome only and not the grade.

## Revise and Resubmit Process

**Note:** *Students entering the examination process from the 1st June to 31st December 2019 may opt to have an assessor, and from 1st January 2020 there will be no assessor process during the revise and resubmit process*

### Outcome

Students must be able to complete the changes for the revised thesis within the timeframe, as recommended by the examiners. This will normally be for a period of up to 6 months. If this is not possible, the student will be recommended for Fail and the degree not awarded.

### Process for Revision

The purpose of the revision period is to complete the revisions as defined by the examiners. During this period students will be required to re-enrol and pay fees for the period agreed to for the revisions to be undertaken.

The Faculty Postgraduate Office and Associate Dean (Postgraduate) will manage the

<sup>1</sup> Where consensus cannot be reached, this will be clearly indicated and no grade or outcome registered.

resubmission process. The supervisors are responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a details outlining where the examination criteria have not been met and detail the revisions required.

The following is required:

- An agreement which details a plan with specific milestones and timetable for resubmission;
- Meeting schedules to be signed off and the Faculty Postgraduate Committee;
- Any deviation to the agreed plan must be discussed with the Associate Dean (Postgraduate) and reported to the Faculty Postgraduate Committee.

The student will be required to re-enrol and pay fees for the period agreed for the revisions to be undertaken.

The normal support the student will receive through the resubmission includes a schedule of meetings between the supervisor and/or Associate Dean (Postgraduate, and student:

- Supervision meetings normally be held on a fortnightly/monthly basis;
- Where the student is not meeting the milestones detailed in the plan the student's candidacy will be discontinued, and a DNC grade will be entered;
  - A student not meeting their milestones in the agreed plan will receive a final warning after the first set of milestones have not been met;
- A student is required to submit a PGR8 progress report every two months, however these may increase in frequency as determined by the Associate Dean (Postgraduate). The PGR8 should detail any unsatisfactory progress, where applicable;
- The Associate Dean (Postgraduate) will provide monthly updates to the Faculty Postgraduate Committee.

### **Process for Resubmission**

Following the completion of the revisions, the normal Masters/Bachelor with Honours submission process is to be followed, e.g. completion of a PGR12 form (see Submission for Examination details on page 136).

### **Re-Examination**

Once the revisions are successfully completed, the standard examination processes should be followed in the same manner as for the first examination. The Graduate Research School or Faculty Postgraduate Office (for practice related research projects) will ensure availability of examiners for the re-examination. The revised research will be sent to those examiners wishing to re-examine. Where an original dissenting examiner declines to re-examine another examiner will be appointed. This examiner may be the reserve examiner appointed for the original examination.

**The student will be permitted to submit the thesis for re-examination only once. Examiners will be informed that there will be no option to recommend a further revise and resubmit**

### Final Outcome

Where a student who has been required to revise and resubmit their research there can only be an outcome of pass or fail. No further option for a revise and resubmit outcome will be permitted.

### Pass Outcome

A pass outcome may have a requirement for further amendments, but not substantial revisions that amount to another revise and resubmit outcome. The highest grade that will be awarded for a revised thesis/dissertation is a C- grade.

In exceptional circumstances, a higher grade may be determined at the discretion of the University Postgraduate Board. In the case, the Faculty Postgraduate Committee/ Faculty Examination Board will need to provide justification to the University Postgraduate Board for approval prior to the resubmission for examination. This will allow the Graduate Research School to instruct the examiners that higher grade allocations can be appointed to each learning outcome.

### Honours

A revised and resubmitted thesis is not eligible for the award of honours, however may be considered in exceptional circumstances at the discretion of the University Postgraduate Board. The Faculty Postgraduate Committee/ Faculty Examination Board will need to provide justification to the University Postgraduate Board for approval.

### Fail Outcome

A fail grade will be awarded to the research and may not be re-submitted for further examination.

## Award of Honours and Distinction

### Grade Point Average

Honours is determined by the Grade Point Average (GPA) of a programme, and the GPA is calculated on all papers undertaken. For example, it is still possible to obtain a first class honours if the grade obtained for one paper is lower than the grade range of A+ to A-, provided other papers undertaken for the programme are achieved at a high GPA. If students are unclear if they can achieve an honours level it is recommended that they calculate their GPA.

For an example on how to calculate a grade point average please refer here:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)  
<https://sdw.aut.ac.nz>

## Honours

In cases of outstanding achievement, a student who completes the requirements for a master's degree with an independent research project of at least 40 points, within the normal time limits, and is not required to resubmit a thesis/dissertation, may be awarded the degree with honours.

Where the requirements for the degree have not been completed within the maximum allowable timeframe, a student will not normally be eligible for the award of honours without prior approval of the University Postgraduate Board. The maximum timeframe differs by programme – refer to the AUT calendar for the maximum timeframe for your programme. Such consideration is made only where there are exceptional circumstances.

Only those grades achieved at AUT will be used in deciding the class of honours. Papers completed outside AUT will not be considered. A capability assessment may contribute to the class of honours awarded. In establishing the class of honours to be awarded, all grades for papers/thesis/dissertation will be taken into account as appropriate.

The GRS, under delegated authority from the University Postgraduate Board, confirms the class of honours to be granted, upon the recommendation of the examination board.

151

The award of honours may be made in the following classes:

### **Honours (First Class)**

This will normally be awarded to students who complete all course work and the thesis/dissertation examination within the grade point average range of A+, A, A-.

Students who achieve first class honours bring intellectual rigour, excellence and insight to their work and reliably and consistently demonstrate an excellent level of synthesis and critique in relation to a depth of specialist knowledge and its impact in the broad context of their discipline.

Students demonstrate consistency, confidence, flexibility and sophistication in their ability to:

- Evaluate and scrutinise their ideas and thinking;
- Provide evidence of analysis, and demonstrate modes of communication appropriate to the field;
- Examine and evaluate issues using perspectives and frameworks from other fields.

### **Honours (Second Class, First Division)**

This will normally be awarded to students who complete all course work and

the thesis/dissertation examination within the grade point average of B+.

Students who achieve second class honours, first division, demonstrate an insightful approach to the key issues and debates in their discipline. The work demonstrates a high level of understanding, synthesis, and critique of the issues and thinking.

Students display high standards in their ability to provide evidence of analysis, and modes of communication appropriate to their discipline and in their evaluation and self-scrutiny of their own ideas and thinking.

### **Honours (Second Class, Second Division)**

This will normally be awarded to students who complete all course work and the thesis/dissertation examination within the grade point average range of B- to B.

Students who achieve second class, second division honours demonstrate an insightful approach to the key issues and debates in their discipline. The work demonstrates good understanding, synthesis, and critique of the main issues and thinking.

152

Where honours are achieved, these will be printed on the parchment as, (First Class), (Second Class: First Division), (Second Class: Second Division). The grade range for each class detailed on the transcript

### **Distinction and Merit**

A student who completes the requirements of a degree without a research component of at least 40 points within the normal time limits allowed may be awarded the degree with distinction or merit. Where the requirements for the degree have not been completed within the maximum allowable timeframe, a student will not normally be eligible for the award of distinction or merit without the prior approval of the University Postgraduate Board. The maximum timeframe differs by programme – refer to the AUT calendar for the maximum timeframe for your programme. In establishing the award of distinction or merit all grades for papers will be taken into account.

The GRS, under delegated authority from the University Postgraduate Board, upon the recommendation of the examination board, confirms whether distinction or merit will be granted.

#### **Distinction**

The degree will be awarded with distinction where overall achievement falls within the grade point average range of A+, A, A-.

#### **Merit**

The degree will be awarded with merit where overall achievement falls within the grade point average of B+.



# POST-EXAMINATION DEPOSIT OF THESES, DISSERTATIONS AND EXEGESES

## Deposit of Thesis/Dissertation/Exegesis

All academic requirements must be met in order to graduate and students must deposit a digital copy of Doctoral and Master's theses, dissertations and exegesises in AUT's Tuwhera Open Access repository at: <https://tuwhera.aut.ac.nz/open-theses>

Requirements for Master's Research Projects or Practice Projects and Bachelor's Degrees with Honours are detailed below.

Before you begin the deposit process, it is important to read the Guide for depositing thesis/dissertation/exegesis/research project at: <http://aut.ac.nz.libguides.com/theses/deposit>. Your digital file should follow the presentation format advised on this guide.

### Year of Lodgement Date

The lodgement date is the date the final electronic thesis is lodged to Tuwhera in order to graduate. Use the year of Lodgement to Tuwhera in the cover page of the thesis, detailed on page 107, not the year submitted for examination.

For technical assistance email the Research Repository Administrator: [tuwhera.opentheses@aut.ac.nz](mailto:tuwhera.opentheses@aut.ac.nz)

### Embargoed Theses/Dissertations/Exegesises

#### Form PGR16 – Application for Embargo

If an embargo has been approved, a digital copy of the thesis/dissertation/exegesis must still be deposited on the Tuwhera website with the signed approval form PGR16. Students must provide embargo information during the digital deposit process. A brief record of your thesis will be displayed on the Tuwhera website and the Library catalogue. The Research Repository administrator will ensure that the embargo material is not released to the open access repository until the restriction has expired.

### Deposit Forms

There is an online form (previously a PGR15 form was used) for the deposit of theses on Tuwhera. The PGR17/PGR18 deposit forms for dissertation and research projects should be submitted electronically as a supplementary document with the digital copy of the post-examination thesis/dissertation/exegesis that is to be lodged in the AUT Library. You are not required to include the deposit form in the copies that are to be sent for examination.

**The following research is required to be submitted in this way in order to be eligible to graduate:**

## Doctoral Theses/Exegeses

Doctoral students must deposit a digital copy, and complete an online deposit form (formally the PGR15 form) in AUT's Tuwhera Open Access repository.

### Doctoral Synopses

It is a requirement for all doctoral students to submit a synopsis of their thesis for inclusion in the graduation handbook. The Graduate Research School will send an email to the student once the thesis has been submitted for examination. This email will contain a link to a form to be completed in order to graduate.

Synopses should be no more than 200 words and in a format suitable for a general audience. It is recommended that the student liaise with their supervisor prior to submitting the synopses. Guidance on completing a synopsis can be found at:

<https://thesislink.aut.ac.nz/?p=7223>

## Master's Theses/Exegeses

Master's thesis/dissertation/exegesis students must deposit a digital copy, and complete an online submission form (formally the PGR15 form) in AUT's Tuwhera Open Access repository.

## Master's Research Projects/Practice Projects

**Form PGR18 - Deposit of Master's Research Project and Practice Project in the Auckland University of Technology Library**

Faculties may recommend exceptional master's projects of 60 points or higher be included in the Library (normally those with first class research honours). In such cases, a copy of the research project together with the PGR18 form, should be uploaded via the Tuwhera Open Access repository at: <https://tuwhera.aut.ac.nz/open-theses>

## Bachelor's Degree with Honours

**Form PGR17 - Deposit of Bachelor's Dissertation/Exegesis in the Auckland University of Technology Library**

Faculties may recommend exceptional dissertations be included in the Library's thesis and dissertation collection (normally those with first class research honours). Bachelor with Honours dissertations can only be accessed by AUT staff and students. In such cases, a digital copy of the dissertation/exegesis together with the PGR17 form, should be uploaded via the Tuwhera Open Access repository at : <https://tuwhera.aut.ac.nz/open-theses>

Any queries about the AUT Library's requirements for faculty-recommended bachelor's with honours dissertations may be directed to the Research Support Coordinator, Ann Chen (Contact details are listed on page 170).

## Theses/Dissertations/Exegeses with Practice-Oriented Components

The digital exegesis should include documentation of both developmental work and the final thesis presentation (for example, indexed documentation of images, sound, etc.).

### Hard Bound and Additional Copies

Hard Bound and additional copies may be requested by the faculty; at the faculty's expense. These may be hard bound, spiral bound or digital as negotiated with the School and supervisors. The binding specifications for hard bound work are as follows:

Theses/dissertations/exegeses are full bound in cloth or buckram.

The student is responsible for the cost of binding. The University provider for printing is PinkLime, aut@fxprintheb.co.nz or phone 921 9999, ext. 8530.

### Year of Lodgement Date

The lodgement date is the date the final electronic thesis is uploaded to Tuwhera in order to graduate. Year of Lodgement stated in the cover page of the thesis, detailed on page 107, may need to be changed to the year of lodgement, not the year submitted for examination.

#### *Front Cover*

The front cover of the thesis/dissertation/exegesis must contain the following elements:

- Student's full name;
- Full title of the thesis/dissertation;
- Abbreviated degree (please see "Appendix A: Qualification Listing" on page 172 for a list.);
- Year of lodgement (this is the year the final thesis is uploaded to Tuwhera in order to graduate and may differ from the year lodged for examination).

Part-numbering should be added if the thesis/dissertation/exegesis is in more than one volume.

Where items other than a volume are submitted, these should be enclosed in a cloth or buckram box of uniform height and lettering to maintain volume. Small items (for example, a computer disk) should be housed in a matching cloth or buckram pocket, attached to the back inside cover board of the main work.

Advice on presentation of other items can be provided by the primary supervisor or faculty postgraduate office.

#### *Spine*

The spine of the thesis/dissertation must contain the following elements and be

printed in lettering of a suitable size:

- Student's surname and initial(s);
- Abbreviated degree;
- Year of lodgement (this is the year the final thesis is lodged to Tuwhera in order to graduate and may differ from the year lodged for examination).

There should be at least 5cm without lettering at the bottom of the spine to allow for the library call number label to be applied.

# GRADUATION

## Council Approval

The Graduation Office recommends the conferring of postgraduate qualifications to Council for those students who have fulfilled all requirements.

Graduands are sent a graduation package, which details procedures for the University graduation ceremony and includes an Application to Graduate form.

An invitation is also extended for graduands to process in the Graduation Procession. The trencher/bonnet is not worn during the procession. However, once the qualification has been conferred in the Graduation Ceremony, graduates will be invited by the Dean to don their trencher/bonnet.

For more information, refer to:

[www.aut.ac.nz/graduation](http://www.aut.ac.nz/graduation)

## Application to Receive Qualifications

Graduands of the University wishing to have their qualification conferred either 'in person' or 'in absentia' are required to complete and return the Application to Graduate Form by the specified date. The graduand's legal name appears on parchments in accordance with the University's official records.

157

## Qualifications

Once a qualification has been conferred, a graduate may use the qualification abbreviation after their name.

Graduates of doctoral degrees are entitled to use the honorific "Dr" once the qualification has been conferred.

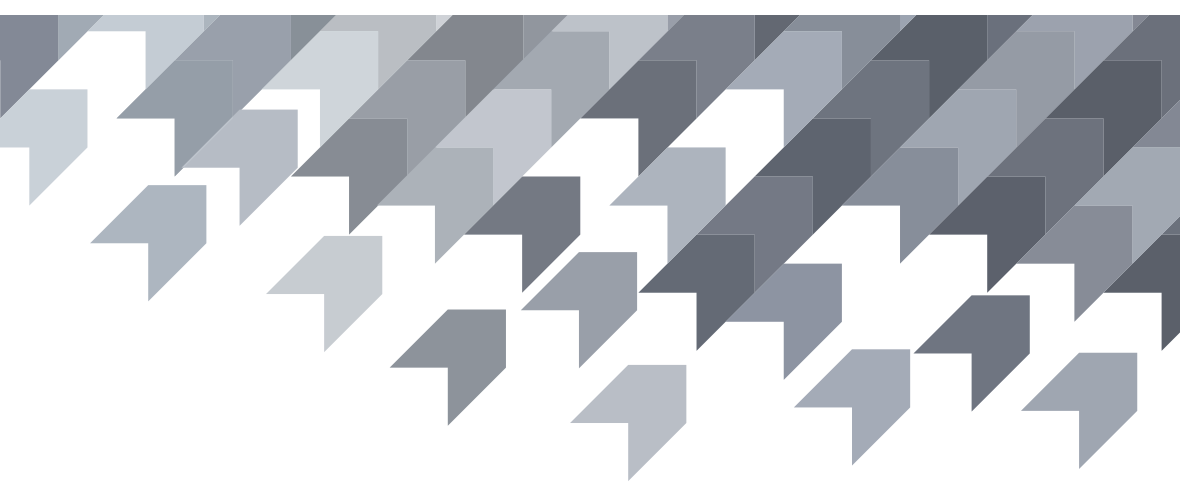
## Doctoral Graduands' Academic Dress Hire

The Graduate Research School will make arrangements with Academic Dress Hire who will liaise directly with students in order to arrange hire, pick-up, fitting and return of academic dress. The hire of academic dress will remain free for doctoral students.

Questions about this can be directed to:

[pgresearch@aut.ac.nz](mailto:pgresearch@aut.ac.nz)





# **CONTACT NUMBERS AND LOCATIONS**

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Faculty of Business, Economics and Law	
Programme	
Doctor of Philosophy Master of Philosophy Master of Business Bachelor of Business (Honours) Postgraduate Diploma in Business Postgraduate Certificate in Business	Associate Dean (Postgraduate) Professor Krzysztof Kabacki, ext. 8123 Email: krzysztof.kabacki@aut.ac.nz Director Postgraduate Research Programmes Dr Eathar Abdul-Ghani, ext. 9616 Email: eathar.abdul-ghani@aut.ac.nz Programme Assistant Yvonne Meachen, ext 6956 Email: yvonne.meachen@aut.ac.nz
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	Postgraduate Research Programme Coordinator Christine Calvelo, ext. 5575 Email: christine.calvelo@aut.ac.nz
Master of Business Administration Master of Applied Finance Master of Global Business Master of Marketing Master of Business Management Master of Professional Accounting	Director MBA and Professional Masters Ken Lee, ext. 9216 Email: ken.lee@aut.ac.nz Programme Manager MBA & Professional Masters Nikki Thomson, ext. 9628 Email: nikki.thomson@aut.ac.nz
Faculty of Culture and Society	
Programme	
Doctor of Philosophy Master of Philosophy	Associate Dean (Postgraduate) Professor Judy McGregor, ext. 9349 Email: judy.mcgregor@aut.ac.nz
Doctor of Philosophy Master of Philosophy	Postgraduate Manager Dr Donna Channings, ext. 6345 Email: donna.channings@aut.ac.nz
Postgraduate and Scholarships Coordinator	Dr Brett Haegren, ext. 6346 Email: brett.haegren@aut.ac.nz

School of Education	
Programme	Programme Leader
Doctor of Education	Programme Leader Professor Nesta Devine, ext. 7361 Email: <a href="mailto:nesta.devine@aut.ac.nz">nesta.devine@aut.ac.nz</a>
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Master of Teaching and Learning	Dr Tony Ingram ext. 6013 Email: <a href="mailto:tony.ingram@aut.ac.nz">tony.ingram@aut.ac.nz</a>
Master of Education Bachelor of Arts (Honours) Postgraduate Diploma in Education Postgraduate Certificate in Education	Professor Jane Gilbert, ext. 8159 Email: <a href="mailto:jane.gilbert@aut.ac.nz">jane.gilbert@aut.ac.nz</a>
Master of Education Practice	Dr Lynette Reid, ext. 8206 Email: <a href="mailto:lynette.reid@aut.ac.nz">lynette.reid@aut.ac.nz</a>
Bachelor of Arts (Honours)	Dr Adrian Schoone, ext. 6137 Email: <a href="mailto:adrian.schoone@aut.ac.nz">adrian.schoone@aut.ac.nz</a>
School of Hospitality and Tourism	
Programme	Programme Leader
Master of International Tourism Management Postgraduate Diploma in International Tourism Management	Programme Leader Associate Professor Heike Schanzel , ext. 6923 Email: <a href="mailto:heike.schanzel@aut.ac.nz">heike.schanzel@aut.ac.nz</a>
Master of International Hospitality Management Postgraduate Diploma in International Hospitality Management Postgraduate Certificate in International Hospitality Management	Associate Professor Shelagh Mooney, ext. 5835 Email: <a href="mailto:shelagh.mooney@aut.ac.nz">shelagh.mooney@aut.ac.nz</a>
Master of Gastronomy Postgraduate Diploma in Gastronomy Postgraduate Certificate in Gastronomy	Christine Hall, ext. 8477 Email: <a href="mailto:christine.hall@aut.ac.nz">christine.hall@aut.ac.nz</a>

School of Language and Culture	
Programme	Programme Leader
Master of Creative Writing	Dr Paul Mountfort, ext. 6620 Email: paul.mountfort@aut.ac.nz
Master of English and New Media Studies Postgraduate Diploma in English and New Media Studies Postgraduate Certificate in English and New Media Studies	Dr Darryl Hocking, ext. 6802 Email: darryl.hocking@aut.ac.nz
Master of Language and Culture Postgraduate Diploma in Language and Culture Postgraduate Certificate in Language and Culture	Dr George Major, ext 6463 Email: george.major@aut.ac.nz
Master of Professional Language Studies	Dr Graeme Couper, ext. 6048 Email: graeme.couper@aut.ac.nz
School of Social Sciences and Public Policy	
Programme	Programme Leader
Master of Human Rights Postgraduate Diploma in Human Rights Postgraduate Certificate in Human Rights	Dr Jane Verbitsky, ext. 5116 Email: jane.verbitsky@aut.ac.nz
Master of Arts Bachelor of Arts (Honours) Postgraduate Diploma in Arts Postgraduate Certificate in Arts	Psychology Dr Eric Landhuis, ext. 6645 Email: erik.landhuis@aut.ac.nz  Social Sciences Dr Kate Nicholls, ext. 6325 Email: kate.nicholls@aut.ac.nz
Master of Criminology and Criminal Justice Postgraduate Diploma in Criminology and Criminal Justice Bachelor of Arts (Honours) – Criminology and Criminal Justice	Dr John Buttle, ext. 8964 Email: john.buttle@aut.ac.nz

### Faculty of Design and Creative Technologies

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Postgraduate Coordinator	Jessie Hsu, ext. 6504 Email: <a href="mailto:dctpgrad@aut.ac.nz">dctpgrad@aut.ac.nz</a>

### School of Art and Design

Programme	Programme Leader
Doctor of Philosophy Master of Philosophy	Head of Postgraduate Studies Associate Professor Janine Randerson, ext. 6261 Email: <a href="mailto:janine.randerson@aut.ac.nz">janine.randerson@aut.ac.nz</a>
Master of Cultural and Creative Practice Master of Design Master of Visual Arts Postgraduate Certificate in Cultural and Creative Practice	Postgraduate Coordinator Linda Wong, ext. 8090 Email: <a href="mailto:pgartdes@aut.ac.nz">pgartdes@aut.ac.nz</a>

### School of Communication Studies

Programme	
Doctor of Philosophy Master of Philosophy Master of Communication Studies Postgraduate Diploma in Communication Studies Postgraduate Diploma in Brand Communication Postgraduate Certificate in Communication Studies Bachelor of Communication Studies (Honours)	Director of Postgraduate Studies Dr Gudrun Frommherz, ext. 7394 Email: <a href="mailto:gudrun.frommherz@aut.ac.nz">gudrun.frommherz@aut.ac.nz</a> Postgraduate Coordinator Ruby Roebuck, ext. 6283 Email: <a href="mailto:pgcommqueries@aut.ac.nz">pgcommqueries@aut.ac.nz</a>

## School of Engineering, Computer and Mathematical Sciences

### Programme

<p>Doctor of Philosophy Master of Philosophy</p>	<p>Head of Doctoral Studies Associate Professor Roopak Sinha, ext. 6256 Email: roopak.sinha@aut.ac.nz Head of Postgraduate Studies Krassie Petrova, ext 5045 Email: krassie.petrova@aut.ac.nz Postgraduate Coordinator (Computer and Mathematical Sciences) Karishma Bhat, ext. 9895 Email:cmsphdteam@aut.ac.nz Postgraduate Coordinator (Engineering) Josephine Prasad, ext. 9871 Email: engphdteam@aut.ac.nz</p>
<p>Master of Analytics Master of Science Postgraduate Diploma in Science Postgraduate Certificate in Science Bachelor of Science (Honours)</p>	<p>Programme Leader Dr Nuttanan Wichitaksorn, ext. 5112 Email: nuttanan.wichitaksorn@aut.ac.nz Postgraduate Coordinator Sharda Mujoo, ext. 5123 Email: cmspg@aut.ac.nz</p>
<p>Master of Information Security and Digital Forensics</p>	<p>Programme Leader Dr Alastair Nisbet, ext. 5879 Email: alastair.nisbet@aut.ac.nz Postgraduate Coordinator Sharda Mujoo, ext. 5123 Email: cmspg@aut.ac.nz</p>
<p>Master of IT Project Management</p>	<p>Programme Leader Dr Stephen Thorpe, ext 5159 Email: stephen.thorpe@aut.ac.nz Postgraduate Coordinator Sharda Mujoo, ext. 5123 Email: cmspg@aut.ac.nz</p>

<p>Master of Computer and Information Sciences</p> <p>Postgraduate Diploma in Computer and Information Sciences</p> <p>Postgraduate Certificate in Computer and Information Sciences</p>	<p>Programme Leader</p> <p>Dr Sira Yongchareon, ext. 5002</p> <p>Email: sira.yongchareon@aut.ac.nz</p> <p>Postgraduate Coordinator</p> <p>Sharda Mujoo, ext. 5123</p> <p>Email: cmspg@aut.ac.nz</p>
<p>Master of Engineering</p> <p>Postgraduate Diploma in Engineering</p> <p>Postgraduate Certificate in Engineering</p>	<p>Programme Leader</p> <p>Associate Professor Boon-Chong Seet, ext. 5345</p> <p>Email: boon-chong.seet@aut.ac.nz</p> <p>Postgraduate Coordinator</p> <p>Kristine Orquillo, ext. 9342</p> <p>Email: epostgra@aut.ac.nz</p>
<b>School of Future Environments</b>	
<b>Programme</b>	
<p>Doctor of Philosophy</p> <p>Master of Philosophy</p> <p>Master of Creative Technologies</p> <p>Postgraduate Certificate in Creative Technologies</p>	<p>Head of Postgraduate Studies</p> <p>Associate Professor Ricardo Sosa, ext.7947</p> <p>Email: ricardo.sosa@aut.ac.nz</p> <p>Postgraduate Coordinator</p> <p>Ruby Roebuck, ext. 6283</p> <p>Email: pgcreativetech@aut.ac.nz</p>
<p>Master of Construction Management</p>	<p>Programme Leader</p> <p>Professor John Tookey, ext. 9512</p> <p>Email: john.tookey@aut.ac.nz</p> <p>Postgraduate Coordinator</p> <p>Kristine Orquillo, ext. 9342</p> <p>Email: epostgra@aut.ac.nz</p>
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<p>Master of Architecture (Professional)</p>	<p>Programme Leader</p> <p>Professor Charles Walker ext. 8091</p> <p>Email: charles.walker@aut.ac.nz</p> <p>Postgraduate Coordinator</p> <p>Ruby Roebuck, ext. 6283</p> <p>Email: pgcreativetech@aut.ac.nz</p>

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Faculty of Te Ara Poutama – Faculty of Māori & Indigenous Development	
Programme	
Doctor of Philosophy Master of Philosophy Master of Arts Bachelor of Arts (Honours) Postgraduate Diploma in Arts Postgraduate Certificate in Arts	Associate Dean (Postgraduate) Professor Hinematau McNeill, ext. 6077 Email: hinematau.mcneill@aut.ac.nz Programme Administrator Amanda Wu, ext. 8146 Email: amanda.wu@aut.ac.nz

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Faculty of Culture and Society	Dr Chris Jenkin
Faculty of Business and Law	Dr Katey Thom
Faculty of Design and Creative Technologies	Dr Adam Taylor
Faculty of Health and Environmental Sciences	Dr Bronwyn Tunnage Dr Liz Binns
Te Ara Poutama – Faculty of Māori Development	Dr Eliza Duder
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Business Development Manager	Tom Davidson, ext. 9519 Email: tom david@aut.ac.nz

University Library	Web: <a href="http://www.library.aut.ac.nz">www.library.aut.ac.nz</a>
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Student Hub	Web: <a href="http://www.aut.ac.nz/studentcentre">www.aut.ac.nz/studentcentre</a>
Student Hub	Phone: 0800 288 864 (0800 AUT UNI)
WA Level 2, WA Building, City Campus	Monday – Friday 8.00am – 5.00pm (Thursday 10.00am–5.00 pm)
AS Level 2, AS Building, North Campus	Monday – Friday 8.00am – 4.30pm (Thursday 10.00am – 4.30pm)
MB Building, South Campus	Monday – Friday 8.00am – 4.30pm (Thursday – 8.00am –7.00pm)
Accommodation	Web: <a href="http://www.aut.ac.nz/accommodation">www.aut.ac.nz/accommodation</a>
Wellesley Student Apartments	Phone: 0800 288 972 (0800 AUT WSA)
Akoranga Student Village	Phone: 0800 288 278 (0800 AUT ASV)
AUT Chinese Centre	Web: <a href="http://www.aut.ac.nz/chinese_centre">www.aut.ac.nz/chinese_centre</a>
WB406, WB Building, City Campus	Phone: 921 9999, ext. 8397 & 6503 Email: <a href="mailto:chinese.centre@aut.ac.nz">chinese.centre@aut.ac.nz</a>
Student Medical Centre	Web: <a href="http://www.aut.ac.nz/health">www.aut.ac.nz/health</a>
WB219, WB Building, City Campus	Phone: 921 9992
AX100, 3 Akoranga Drive Northcote	Phone: 921 9998
MB109, MB Building, South Campus	Phone: 921 9992
Student Learning (Puna Aranui)	Web: <a href="http://www.aut.ac.nz/student-learning">www.aut.ac.nz/student-learning</a> Email: <a href="mailto:slc@aut.ac.nz">slc@aut.ac.nz</a>
Learning Lab City Campus	Phone: 921 9083
AS206, AS Building, North Campus	Phone: 921 9083
MA106, South Campus	Phone: 921 9073
LGBTI Student Support	Web: <a href="http://www.aut.ac.nz/lgbt">www.aut.ac.nz/lgbt</a> Jessie Lewthwaite Phone: 921 9999 ext. 6998 Email: <a href="mailto:rainbow@aut.ac.nz">rainbow@aut.ac.nz</a>

Māori Liaison Services – Te Tari Takawaenga	Web: <a href="http://www.aut.ac.nz/student_services/maori">www.aut.ac.nz/student_services/maori</a>
WB204–208, WB Building, City Campus	Phone: 921 9082
AS211, AS Building, North Campus	Phone: 921 9082
MA106, South Campus	Phone: 921 9072
Sport Development and Athlete Support	Web: <a href="http://www.aut.ac.nz/community/sport-at-aut">www.aut.ac.nz/community/sport-at-aut</a> Email: <a href="mailto:sport@aut.ac.nz">sport@aut.ac.nz</a>
WB102, WB Building, City Campus	Phone: 921 9736
Employability and Careers	Web: <a href="http://www.aut.ac.nz/employability">www.aut.ac.nz/employability</a> Email: <a href="mailto:employability@aut.ac.nz">employability@aut.ac.nz</a>
Lab WA202, WA Building, City Campus	Phone: 921 9089
AS212, AS Building, North Campus	Phone: 921 9076
South Campus	Phone: 921 9089

# APPENDIX A: QUALIFICATION LISTING

## Formal Abbreviations for Postgraduate Programmes

Code	Qualification Title	Abbreviation
AK3999	Doctor of Literature	DLitt
AK3998	Doctor of Science	DSc
AK3685	Doctor of Education	EdD
AK3664	Doctor of Health Science	DHSc
AK3518	Doctor of Philosophy	PhD
AK1286	Master of Adult Literacy and Numeracy Education	MAdLitNumEd
AK1321	Master of Analytics	MAalytics
AK1055	Master of Applied Finance	MAF
AK1338	Master of Architecture (Professional)	MArch(Prof)
AK3689	Master of Arts	MA
AK1060	Master of Business	MBus
AK3717	Master of Business Administration	MBA
AK1090	Master of Business Management	MBM
AK1278	Master of Career Development	MCD
AK1323	Master of Communication Studies	MCS
AK1329	Master of Computer and Information Sciences	MCIS
AK1290	Master of Construction Management	MCM
AK1320	Master of Creative Technologies	MCT
AK1303	Master of Creative Writing	MCW
AK1335	Master of Cultural & Creative Practice	MCCP
AK1328	Master of Design	MDes
AK3649	Master of Education	Med
AK1280	Master of Educational Leadership	MEdL
AK1016	Master of Emergency Management	MEmMgt
AK1325	Master of Engineering	ME
AK1317	Master of Engineering Project Management	MEPM
AK1065	Master of Global Business	MGBus
AK3733	Master of Health Practice	MHPrac

Code	Qualification Title	Abbreviation
AK3485	Master of Health Science	MHSc
AK1023	Master of Human Rights	MHumRights
AK1324	Master of Information Security & Digital Forensics	MISDF
AK1339	Master of Information Technology Project Management	MITPM
AK3705	Master of International Hospitality Management	MIHM
AK1282	Master of International Tourism Management	MITM
AK1339	Master of IT Project Management	MITPM
AK1044	Master of Laws	LLM
AK1045	Master of Marketing	MMktg
AK1028	Master of Medical Laboratory Science	MMLS
AK3830	Master of Nursing Science	MNSc
AK3720	Master of Philosophy	MPhil
AK3611	Master of Professional Accounting	MPA
AK1287	Master of Professional Language Studies	MPLS
AK3920	Master of Psychotherapy	MPsychotherapy
AK3805	Master of Public Health	MPH
AK1037	Master of Science (Research)	MSc(Res)
AK2037	Master of Science	MSc
AK3910	Master of Sport and Exercise	MSpEx
AK1327	Master of Visual Arts	MVA
AK2040	Bachelor of Advanced Science (Honours)	BAdvSc(Hons)
AK3696	Bachelor of Arts (Honours)	BA(Hons)
AK3712	Bachelor of Business (Honours)	BBus(Hons)
AK3662	Bachelor of Health Science (Honours)	BHSc(Hons)
AK1009	Bachelor of Laws (Honours)	LLB(Hons)
AK1040	Bachelor of Science (Honours)	BSc(Hons)
AK3913	Bachelor of Sport and Recreation (Honours)	BSR(Hons)

Code	Qualification Title	Abbreviation
AK1056	Postgraduate Diploma in Applied Finance	PgDipAF
AK3740	Postgraduate Diploma in Arts	PgDipArts
AK3741	Postgraduate Diploma in Business	PgDipBus
AK1019	Postgraduate Diploma in Business Administration	PgDipBA
AK1091	Postgraduate Diploma in Business Management	PgDipBM
AK3825	Postgraduate Diploma in Clinical Child and Adolescent Psychotherapy	PgDipClicChld & AdolPsycho
AK1299	Postgraduate Diploma in Communication Studies	PgDipCS
AK3745	Postgraduate Diploma in Computer and Information Sciences	PgDipCIS
AK1232	Postgraduate Diploma in Counselling Psychology	PgDipCounsPsych
AK3743	Postgraduate Diploma in Education	PgDipEd
AK1015	Postgraduate Diploma in Emergency Management	PgDipEmMgt
AK3566	Postgraduate Diploma in Engineering	PgDipEng
AK3821	Postgraduate Diploma in Geographic Information Science	PgDipGIS
AK1066	Postgraduate Diploma in Global Business	PgDipGBus
AK3487	Postgraduate Diploma in Health Science	PgDipHSc
AK3747	Postgraduate Diploma in International Hospitality Management	PgDipIHM
AK1283	Postgraduate Diploma in International Tourism Management	PgDipITM
AK1046	Postgraduate Diploma in Marketing	PgDipMktg
AK1027	Postgraduate Diploma in Medical Laboratory Science	PgDipMLS
AK3711	Postgraduate Diploma in Professional Accounting	PgDipPA
AK3806	Postgraduate Diploma in Public Health	PgDipPH
AK1038	Postgraduate Diploma in Science	PgDipSc
AK3911	Postgraduate Diploma in Sport and Exercise	PgDipSpEx

Code	Qualification Title	Abbreviation
AK3557	Postgraduate Certificate in Advanced Nursing Practice	PgCertAdvNurs-Prac
AK1004	Postgraduate Certificate in Arts	
AK3742	Postgraduate Certificate in Business	PgCertBus
AK1020	Postgraduate Certificate in Business Administration	PgCertBA
AK1070	Postgraduate Certificate in Business Studies	PgCertBusSt
AK1322	Postgraduate Certificate in Communication Studies	PgCertCS
AK3746	Postgraduate Certificate in Computer and Information Sciences	PgCertCIS
AK1440	Postgraduate Certificate in Creative Technologies	PgCertCT
AK1336	Postgraduate Certificate in Cultural & Creative Practice	PgCertCCP
AK3744	Postgraduate Certificate in Education	PgCertEd
AK1025	Postgraduate Certificate in Emergency Management	PgCertEmMgt
AK1296	Postgraduate Certificate in Engineering	PgCertEng
AK3484	Postgraduate Certificate in Health Science	PgCertHSc
AK3748	Postgraduate Certificate in International Hospitality Management	PgCertIHM
AK1050	Postgraduate Certificate in Law	PgCertLaw
AK1026	Postgraduate Certificate in Medical Laboratory Science	PgCertMLS
AK3811	Postgraduate Certificate in Professional Accounting	PgCertPA
AK3807	Postgraduate Certificate in Public Health	PgCertPH
AK1039	Postgraduate Certificate in Science	PgCertSc
AK3912	Postgraduate Certificate in Sport and Exercise	PgCertSpEx

# APPENDIX B: POSTGRADUATE FORMS

## Listing of Postgraduate Forms

**Note:** *The forms are revised on a regular basis. It is strongly recommended that you download the current form each time you wish to use it rather than using one saved on your computer from an earlier occasion. All forms are available on the AUT website, <https://autuni.sharepoint.com/sites/sdw/research/prores/Pages/Postgraduate-Forms.aspx>*

### Postgraduate Forms

Form PGR1	Postgraduate Thesis/Dissertation Research Proposal Includes brief research proposal. Form PGR1 must be accompanied by an Application for Enrolment Form.
Form PGR2	Admission to an AUT Doctoral Programme.
Form PGR3	Transfer of PhD Candidature. To be completed by a candidate transferring doctoral candidature to AUT from another institution. Form PGR3 must be accompanied by the equivalent AUT PGR2 or PGR9 as well as all progress reports.
Form PGR4	Transfer to the PhD from an AUT Master's Programme Application form detailing requirements for the transfer. Form PGR4 must be accompanied by the PGR9 – Confirmation of Candidature form.
Form PGR5	Transfer to an AUT Master's Programme from an AUT Doctoral Programme.
Form PGR6	Variation of record. Application for changes to candidature such as mode of study (does not apply to doctoral students), deferment/leave of absence of enrolment, withdrawal from programme, request for extension and expected completion.
Form PGR7	Change of Supervisor. Notification of the appointment of additional supervisors and changes of supervisors.
Form PGR8	Progress Report. A six-monthly report on research progress by the student.
Form PGR9	Confirmation of Candidature. Application for confirmation of doctoral candidature and the full research proposal.
Form PGR10	Change in Topic. Notification of a significant change in thesis topic.

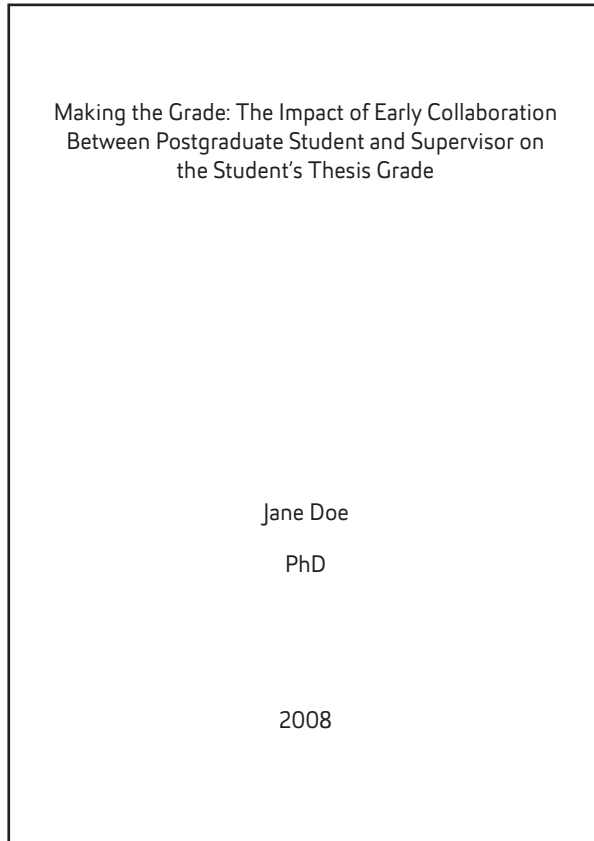


Form PGR11	Appointment of Examiners. A faculty postgraduate committee recommendation of examiners.
Form PGR12	Lodgement of Thesis for Examination. A statement that the thesis is ready for examination.
Form PGR14	Amendments to Thesis as Required by Examiners. An attestation that amendments to the thesis have been actioned as requested by the examiners to the satisfaction of the nominee(s).
Form PGR16	Application for Embargo.
Form PGR17	Deposit of bachelor's dissertation/exegesis in the AUT library Form to accompany electronic dissertation/exegesis being deposited in the AUT library. If required, you will be told to submit an electronic copy of the PGR17. Please discuss with your faculty for further details.
Form PGR18	Deposit of Master's Research Project & Practice Project in the AUT Library. If required, you will be told to submit an electronic copy of the PGR18. Please discuss with your faculty for further details.
Form PGR23	Primary Supervisors Report. The primary supervisors report is only be submitted with a doctoral examination where special circumstances exist.

# APPENDIX C: COVER/TITLE PAGE SPECIFICATIONS

## Thesis/Dissertation Cover Specifications

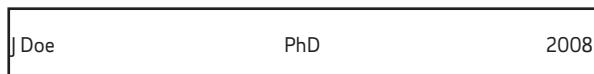
**Note:** *PhD thesis, all master's theses and dissertations should follow this format.*



178

## Thesis/Dissertation Spine Specifications

**Note:** *There should be at least 5cm without lettering at the bottom of the spine*



## Thesis/Dissertation Title Page Specifications

A sample thesis title page for a degree requiring coursework:

Making the Grade: The Impact of Early Collaboration  
Between Postgraduate Student and Supervisor  
on the Student's Thesis Grade

Jane Doe

A thesis submitted to  
Auckland University of Technology  
in partial fulfilment of the requirements for the degree of  
Master of Education (MEd)

2008

School of Education

A sample thesis title page for a degree not requiring coursework (eg PhD or MPhil):

Making the Grade: The Impact of Early Collaboration  
Between Postgraduate Student and Supervisor  
on the Student's Thesis Grade

Jane Doe

A thesis submitted to  
Auckland University of Technology  
in fulfilment of the requirements for the degree of  
Doctor of Philosophy (PhD)

2008

School of Education

# INDEX

## A

- Abstracts 108
- Academic Board (ACBD) 8
- Academic Integrity 85
- Academic Dates for 2020 7
- Acknowledgements 109
- Adjunct Staff 55, 115
- Admission and Enrolment 45
  - Admission to Doctoral Degrees 45
  - Bachelor with Honours Degrees 47
  - Master's Degrees 47
  - Provisional Admission 46
  - Transitional Studies 46
- Amendment Submission
  - Doctoral 125
  - Master's/BHons 145
- Animal Ethics 88
- Appendices 110
- Application for Enrolment 39
- Application Requirements 37
  - Application Processes 39, 42
  - Domestic Applicants 37
  - English Language Requirements 37
  - International Applicants to the Doctor of Philosophy Programme 38
- Application to Receive Qualifications 157
- Appointment of a Moderator 144
- Appointment of Examiners
  - Adjunct Staff 115
  - Conflict of Interest 82
  - Doctoral 115
  - Examiners' Experience 116, 134
  - Formal Appointment 116, 134
  - Internal and External Examiners 117, 135
  - Master's/BHons 133
  - Mentor Examiner 117, 135
  - Practice-Oriented - Doctoral 129
  - Practice-Oriented - Master's/BHons 145
  - Reserve Examiner 117, 135
  - Staff Members 117, 135
- Appointment of Supervisors 79
- Approval Process for the Research Component of a Degree 48
- Attestation of Authorship 119, 136
- Auckland University of Technology Ethics Committee (AUTEC) 11
- AUT Ventures Ltd 20
- Award of Honours and Distinction 150
- Award of the Degree 125

## B

Bachelor with Honours Degrees 36, 47

Admission 47

Entry Criteria 36

Level and Characteristics 36

Boards

Academic Board (ACBD) 8

Boards of Studies 10

Examination Board 10

Faculty Boards 10

University Postgraduate Board (UPB) 8

Boards of Studies 10

Business Cards 72

## C

Change of Faculty 78

Change of Supervisors 79

Chapters 110

Co-Authored Works 109

Computing Resources 15, 18

Conditional Admission 48

Confidentiality/Embargoes 118

Confidential Material 80, 110

Confirmation of Candidature 69

Conflict of Interest 82

Doctoral Examinations 115

Master's/BHons Examinations 134

Contractual Arrangements 85

Convenor 116

Copyright Statement 111

Council Approval 157

Cover/Title Page Specifications 178

## D

Data Collection 72

Data Gathering, Storage and Retention 81

Declaration of Collaboration 109

Declaration of Suitability for Examination 136

Deferment of Enrolment 74

Definition of Research 96

Deposit Forms 153

Deposit of Thesis/Dissertation/Exegesis 153

Dispatch 137

Dissertation and Research Project Word Limits 107

Dissertations 97

Distinction and Merit 152

Doctoral Degrees 27

Doctoral Examinations	114
Amendment Submission	125
Appointment of Examiners	115, 129
Confidentiality/Embargoes	118
Conflict of Interest	115
Convenor	116
Enrolment During Examination	115
Examination Timeframe	114
Examiner Nomination	115
Examiners' Reports	120
Mentor Examiner	117
Oral Examination	121
Oral Examination Process	122
Pre-meeting for Oral Examination	121
Outcome	123
Payment of Honoraria	117
Practice-Oriented Examination Process	114
Primary Supervisor's Report	122
Recommendation for the Award of the Degree	125
Reserve Examiner	117
Revise and Resubmit Process	126
Staff Members	117
Submission for Examination	118
Turnitin	119
Doctoral Graduands' Academic Dress Hire	157
Doctor of Education Graduate Profile	29
Doctor of Philosophy Graduate Profile	28
Domestic Applicants	37

## E

Embargoed Theses/Dissertations/Exegeses	153
Employability and Careers	20
English Language Requirements	37
Enrolment	49
Enrolment During Examination	115
Entry Criteria	
Bachelor Degrees with Honours	36
Doctoral	30
Higher Doctorate	26
Master's Degrees	33
Postgraduate Diploma/Postgraduate Certificate	35
Ethical Approval	72, 87, 109
Ethics Responsibilities of Supervisors and Students	88
Examination Board	10
Examination Criteria	
Doctoral	120
Higher Doctorate	112
Master's/BHons	138
Examination Process	146

Examinations – Doctoral 114  
Examinations – Higher Doctorate 112  
Examinations – Master’s and Bachelor with Honours 132  
Examiner Communication 114, 132  
Examiner Nomination  
    Doctoral 115  
    Master’s/BHons 133  
Examiners’ Experience 134  
Examiners’ Recommendations 121, 142  
Examiners’ Reports 120, 138  
Exegesis 103, 104, 129  
Extensions 75  
    Doctoral Student Extensions 75  
    Master’s and Bachelor with Honours Student Extensions 76  
    Unsatisfactory Progress 75  
External Supervisors 55

## **F**

Faculty Boards 10  
Faculty Contacts 160  
Figures (list of) 108  
Formats 100  
    Format One – Traditional Research Structure 101  
    Format Two – Manuscript Structure 101  
        Format Two Requirements 102  
    Format Three 103  
    Word Limits 105  
Formatting and Presentation 99  
    Form of Thesis/Dissertation for Examination 99  
    Non-Print Materials 100  
    Paper Size 100  
    Proofreading 99  
    Research Title Naming Convention 100  
    Supervisors Checklist 99  
    Turnitin 100  
    Typing 100  
Form of Thesis/Dissertation for Examination 99  
Forms 176  
Funding for Research 19  
    AUT Enterprises Ltd 20  
    Research and Innovation Office (RIO) 20

## **G**

Glossary 110  
Grade Point Average 150  
Graduate Profiles 28  
    Doctor of Education 29  
    Doctor of Health Science 30



- Doctor of Philosophy 28
- Master of Philosophy 33
- Graduate Research School 12
- Graduation 157
- Graduation Timeframe 114, 132

## H

- Hard Bound and Additional Copies 155
- Higher Doctorate 26
  - Appeals 113
  - Application to a Higher Doctorate 27
  - Eligibility 26
  - Examination
    - Process 112
    - Review Process 112
- Honorariums 117, 134
- Honours 150

## I

- IELTS 37
- Important Boards and Committees 8
  - Academic Board (ACBD) 8
  - Auckland University of Technology Ethics Committee (AUTEC) 11
  - Boards of Studies 10
  - Examination Board 10
  - Faculty Boards 10
  - University Postgraduate Board (UPB) 8
- Induction 13
- Integrity in Research 14
- Intellectual Property 84, 109
- Internal and External Examiners 117, 135
- International Applicants 37
  - English Language Requirements 37

## L

- Leading Researcher 39
- Leave of Absence from Candidature 76
- Library Services 17
- Lodgement Statements 108

## M

- Major Change to Thesis/Dissertation Topic 79
- Managing Student Progress 57
- Master of Philosophy Degree 33
  - Admission 34
  - Graduate Profile 33

Level and Characteristics 33  
Master's and Bachelor with Honour's Examinations 132  
Amendment Submission 145  
Appointment of Examiners 133  
Conflict of Interest 134  
Examination Process 146  
Examination Timeframe 132  
Examiner Nomination 133  
Examiners' Recommendations 142  
Examiners' Reports 138  
Mentor Examiner 135  
Outcome 143  
Panel Examination 147  
Payment of Honoraria 134  
Practice-Oriented Examination Process 132  
Processing of Examiners' Reports 143  
Reserve Examiner 135  
Staff Members 135  
Submission for Examination 136  
Turnitin 137  
Master's Degrees 31  
Entry Criteria 33  
Mentor Eligibility 53  
Mentor Responsibilities 54  
Minimum Resources 15  
Mode of Study (Not Applicable to Doctoral Students) 75  
Moderation 144

## **N**

Non-Print Materials 100

## **O**

Off-Campus Registration 43  
Offer of Place 49  
Oral Examination 121  
Orientation 21  
Other University Contacts 168  
Outcomes  
Doctoral 123  
Master's/BHons 142  
Overseas Data Collection 88

## **P**

Plagiarism 86  
Post-examination Deposit of Theses, Dissertations and Exegeses 153  
Postgraduate Certificate Qualifications 35  
Entry Criteria 35

Level and Characteristics	35
Postgraduate Diploma Qualifications	35
Entry Criteria	35
Level and Characteristics	35
Postgraduate Forms	176
Postgraduate Supervision Agreements	58
Doctoral	58
Master's/BHons	61
Primary Supervisor's Report	122
Principles of Supervision	52
Programme Information and Entry Criteria	26
Attendance Requirements	36
Bachelor's Degrees with Honours	36
Entry Criteria	36
Level and Characteristics	36
Doctoral Degrees	28
Entry Criteria	30
Graduate Profiles	28
Level and Characteristics	28
Entry Criteria for Master's Degrees	33
Higher Doctorate	26
Application to a Higher Doctorate	27
Master of Philosophy Degree	33
Admission	34
Completion Requirements:	35
Level and Characteristics	33
Master's Degrees	
Entry Criteria	33
Outcomes	32
Research	31
Postgraduate Diploma and Certificate Qualifications	35
Entry Criteria	35
Level and Characteristics	35
Progression Through the Degree	
Confirmation of Candidature	69
Unsatisfactory Progress and Withdrawal	70
Progress Reports	72
Completing the Progress Reports	73
Progress Report Timeframes	72
Proofreading	99
Provisional Admission	46
Publication and Authorship	83

## Q

Qualification Listing	172
Qualifications	157

## R

- References 110
- Release of Examiners' Reports 148
- Release of Information 126, 148
- Research and Innovation Office (RIO) 20
- Research Description 96
- Researcher Development 54
- Research Ethics 87
  - Animal Ethics 88
  - Ethics Approval for Research 87
  - Ethics Responsibilities of Supervisors and Students 88
  - Overseas Data Collection 88
- Research Outputs 96
  - Dissertations 97
  - Guidelines for Presenting in Te Reo Māori 96
  - Research Description 96
  - Research Projects 97
  - Research Types 96
  - Theses 97
  - Theses with Practice-Oriented Component 97
- Research Projects 31, 97
- Research Supervision 52
  - Adjunct Staff 55
  - External Supervisors 55
  - General Responsibilities of Supervisors 55
  - Researcher Development 54
  - Supervision Agreements 58
  - Supervisor Location 54
  - Supervisor Register 55
  - Supervisory Eligibility 52
  - Supervisory Mentors 53
  - Mentor Eligibility 53
- Research Timeframes 68
  - Doctoral Timeframes 69
  - Master's and Bachelor with Honours Timeframes 69
- Research Title Naming Convention 100
- Research Types 96
- Resolution of Problems 90
  - University Complaints Procedures 91
- Resources 12
- Responsibilities of Supervisors 55
- Revise and Resubmit – Doctoral
  - Final Outcome 128
  - Outcome 126
  - Process for Resubmission 127
  - Process for Revision 126
  - Re-Examination 128
  - Types of Re-Examination 127

Revise and Resubmit – Masters and BHons	148
Final Outcome	150
Outcome	148
Process for Resubmission	149
Process for Revision	148
Re-Examination	149

## S

Sabbatical Leave	55
Specific Learning Difficulties	92
Spine Specifications	178
Student Accommodation	21
Student Application for Enrolment	37
Student Counselling and Mental Health	22
Student Medical Centre	21
Student Progress – Management of,	57
Student Progress Reports	72
Student Services	20
Study Rooms	16
Submission Against Supervisor Advice	119, 136
Submission for Examination	136
Doctoral	118
Master's/BHons	136
Supervision Agreements	58
Doctoral Research Supervision Agreement	58
Postgraduate Supervision Agreement for Master's and Bachelor's Degrees with Honours	61
Supervision Practice	54
Supervisor Location	54
Supervisor/Mentor Absence and Sabbatical Leave	55
Supervisor Register	55
Supervisors Checklist	99
Supervisory Eligibility	52
Supervisory Mentors	53
Support and Resources	12
Computing Resources	18
Funding for Research	19
Graduate Research School	12
Integrity in Research	14
Researcher Development	12
Statement of Minimum Resources for Research Students	15
Student Services	20
University Postgraduate Study Rooms	16

## T

Table of Contents	108
Tables (list of)	108
Te Reo Māori	96
Termination of Enrolment	79

The Chinese Centre 21  
Theses 97  
Theses with Practice-Oriented Component 97  
Thesis/Dissertation Cover Specifications 178  
Thesis/Dissertation/Exegesis Formats 100  
Thesis/Dissertation/Exegesis Layout 107  
Thesislink 12  
Third Party Copyright Material 111  
Title page 107  
Title Page Specifications 179  
Transfers 40  
    Transfer from an AUT Doctoral Degree to an AUT Master's Programme 41  
    Transfer from an AUT Master's Research Degree to the AUT PhD 40  
    Transfer of Doctoral Candidature from another Institution to AUT 42  
    Transfer of Master's Research from Another Institution to an AUT Master's Research Degree  
        or the Master of Philosophy Programme 42  
Transitional Studies 46  
Turnitin 100, 119, 137

## U

University Complaints Procedures 91  
University Postgraduate Board (UPB) 8  
Unsatisfactory Progress 75, 79  
    Withdrawal 70

## V

Variations to Candidature 74  
    Change of Faculty 78  
    Deferment of Enrolment 74  
    Extensions 75  
    Leave of Absence from Candidature 76  
    Mode of Study 75  
    Withdrawal 77  
Vulnerable Children's Act 45, 68

## W

Withdrawal 77  
Word Limits 105  
    Bachelor with Honours Word Limits 106  
    Dissertation Word Limits 107  
    Doctoral Thesis Word Limits 105  
    Exegesis Word Limits  
        Bachelor with Honours 107  
        Doctoral 106  
        Master's 106  
    Exegesis Word Limits  
        Research Projects 107

Master's Thesis Word Limits 106  
Research Project Word Limits 107

## Y

Year of Lodgement Date 153, 155

