

AUCKLAND UNIVERSITY OF TECHNOLOGY

POSTGRADUATE HANDBOOK 2018

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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.

2

Note: *In early 2018 the university will be updating the AUT website, which may result in some links changing from those listed in the Postgraduate Handbook. Please refer to the online version of the Postgraduate Handbook.*

CONTENTS

Academic Dates For 2018	6
Important Boards And Committees	7
Academic Board (ACBD)	7
University Postgraduate Board (UPB)	7
Faculty Boards	9
Boards of Studies	9
Examination Board	9
Auckland University of Technology Ethics Committee (AUTEC)	10
SUPPORT AND RESOURCES	12
Graduate Research School	12
Statement of Minimum Resources for Research Students	15
Postgraduate Study Rooms	16
Library Services	17
Learning Support Services within the Library	18
Computing Resources	19
Funding for Research	19
PROGRAMME INFORMATION & ENTRY CRITERIA	26
Doctoral Degrees	26
Level and Characteristics	26
Graduate Profiles	27
Entry Criteria	29
Master's Degrees	30
Entry Criteria for Master's Degrees	31
Master of Philosophy Degree	32
Postgraduate Diploma and Certificate Qualifications	34
Bachelor's Degrees with Honours	34
Attendance Requirements	35
APPLICATION REQUIREMENTS	36
Domestic Applicants	36
International Applicants	36
English Language Requirements	36
International Applicants to the Doctor of Philosophy Programme	37
Application Processes	38
Transfers	39

Notification	41
Off-Campus Registration	41
ADMISSION AND ENROLMENT	43
Vulnerable Children’s Act (2014)	43
Admission to Doctoral Degrees	43
Admission to Master’s and Bachelor with Honours Degrees	45
Offer of Place	46
Enrolment	47
RESEARCH SUPERVISION	50
Supervisory Eligibility	50
Academic Staff Preparation and Ongoing Competency as a Supervisor	50
Staff Development for Supervisors	51
External Supervisors	51
Supervisory Mentors	52
Supervisor Register	53
Code of Practice for Supervisors	54
Research Supervision Agreement	59
PROGRESSION THROUGH THE DEGREE	68
Vulnerable Children’s Act (2014)	68
Research Timeframes	68
Confirmation of Candidature (Doctoral students only)	69
Student Progress Reports	72
Variations to Candidature	73
Deferment of Enrolment	74
Mode of Study	74
Extension	74
Leave of Absence	76
Withdrawal	77
Change of Faculty	77
Appointment/Change of Supervisors	78
Major Change to Thesis/Dissertation Topic	78
Unsatisfactory Progress	78
RESEARCH ETHICS	86
Ethics Approval for Research	86
Animal Ethics	86
Ethics Responsibilities of Supervisors and Students	86

Resolution Of Problems	88
EXAMINATION	95
Research Outputs	96
Formatting And Presentation	100
Doctoral Examinations	109
Appointment of Examiners	110
Examiners' Reports	116
Oral Examination	117
Oral Examination Process	117
Outcomes	118
Revise and Resubmit Process	122
Examination of Practice-Led Research	124
Master's and Bachelor with Honour's Examinations	128
Appointment of Examiners	129
Submission for Examination	132
Outcomes	139
Examination of Practice-Led Research	141
Release of Information	145
Revise and Resubmit Process	145
Award of Honours and Distinction	147
POST-EXAMINATION DEPOSIT OF THESES, DISSERTATIONS AND EXEGESES	150
Deposit of Thesis/Dissertation/Exegesis	150
Doctoral Theses/Exeges	150
Master's Research Projects/Practice Projects	151
Bachelor's Degree with Honours	151
GRADUATION	153
Council Approval	153
Application to Receive Qualifications	153
Qualifications	153
Doctoral Graduands' Academic Dress Hire	153
CONTACT NUMBERS AND LOCATIONS	154
Faculty Contacts	156
Other University Contacts	164
Appendix A: Qualification Listing	168
Appendix B: Postgraduate Forms	172
Index	174

ACADEMIC DATES FOR 2018

January

29 Auckland Anniversary Day

February

6 Waitangi Day Holiday

26 Semester 1 commences

March

30 Easter Friday

April

2 Easter Monday

3 University Holiday (Easter)

16–27 Mid-Semester Break

25 Anzac Day

30 Semester 1 resumes

June

4 Queen's Birthday

22 Semester 1 ends

25 June - 13 July Inter-Semester Break

July

16 Semester 2 commences

September

3–14 Mid-Semester Break

17 Semester 2 resumes

October

22 Labour Day

November

9 Semester 2 ends

12 - 23 Inter-Semester break

26 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.

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

Note: *In early 2018 the membership of the University Postgraduate Board will be updated. Please refer to the online version of the Postgraduate Handbook for changes.*

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 & Enterprise);
Associate Dean (Postgraduate) from each faculty or alternative;
One other member from each faculty (experienced in Faculty decision making Committees);
Head of Researcher Development;
Academic Director;
Postgraduate Officer, AuSM;
Doctoral student representative elected by doctoral students (x2);
Director of Learning & Engagement;
University Librarian or nominee;
Manager, Graduate Research School (Secretary);
Student Learning Representative

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 2018 Meeting Schedule

Meeting Date Normally the 3rd Tuesday of Month	Agenda Closure Date
20 February	5 February
20 March	5 March
17 April	29 March
15 May	30 April
29 June	5 June
17 July	2 July
21 August	6 August
18 September	3 September
16 October	1 October
20 November	5 November
11 December	26 November

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 studies¹ 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 board¹ which monitors individual student achievement and recommends the granting of qualifications.

1 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.

AUTEC 2018 Meeting Schedule

Month 2017	Meeting Date	Agenda Closing Date
February	Monday 19 th February	Wednesday 7 th February
March	Monday 5 th March	Wednesday 21 st February
	Monday 19 th March	Wednesday 7 th March
April	Monday 23 rd April	Wednesday 11 th April
May	Monday 14 th May	Wednesday 2 nd May
	Monday 28 th May	Wednesday 16 th May
June	Monday 11 th June	Wednesday 30 th May
	Monday 25 th June	Wednesday 13 th June
July	Monday 16 th July	Wednesday 4 th July
August	Monday 6 th August	Wednesday 25 th July
	Monday 20 th August	Wednesday 8 th August
September	Monday 10 th September	Wednesday 29 th August
	Monday 24 th September	Wednesday 12 th September
October	Monday 15 th October	Wednesday 3 rd October
November	Monday 5 th November	Wednesday 24 th October
	Monday 19 th November	Wednesday 7 th November
December	Monday 3 rd December	Wednesday 21 st November

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

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 a research qualification. 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.

Researcher Development Online Tool

Postgraduate research students are encouraged to be active members of the research community at the University and they are supported in a variety of ways. The Researcher Development team keeps track of over 500 events, activities, and resources for AUT researchers. Staff and postgraduate research students can browse and search through these development opportunities using the Researcher Development Online Tool. Follow the link from the Postgraduate Researcher Development page at <http://www.aut.ac.nz/study-at-aut/postgraduate-study/postgraduate-researcher-development>, and enter your AUT login details to access the tool.

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 Anaise Irvine (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.

Turnitin

Turnitin is a resource for students enrolled in an AUT thesis or dissertation to check their own work for 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, prior to submission for examination. See page 115 for further details.

Postgraduate Network

This is an email network which is updated by the GRS on a regular basis. Information on postgraduate workshops, events, scholarships and university-wide current affairs is emailed to the network. 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 3Minute 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.

Further details on seminars and how to register are available on the AUT website:

https://www.aut.ac.nz/being-a-student/starting-out/postgraduates/academic-information/academic-study-support-and-resources/postgraduate-seminars-and-workshops/_nocache

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, after-hours 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 172 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.
- After-hours 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 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.

Postgraduate Protocols can be found on the AUT website:

<http://www.aut.ac.nz/study-at-aut/postgraduate-study/graduate-research-school>

University Postgraduate Study Rooms

Postgraduate Study Rooms are located on the City (WU415), AUT North Campus (AL210) and AUT South Campus (MA206). These 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.

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.*

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

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 books, journals, magazines, newspapers, article databases, subject specialised databases, statistical data and audio/video materials. The Library subscribes to a large number of electronic books and most journals can be accessed online.

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.

Information and Research Services

- Liaison Librarians provide subject-specialised assistance in using Library resources. You may make an appointment for in-depth research consultation with your liaison librarian. Find your liaison librarian at: <https://library.aut.ac.nz/locations-and-contact/liaison-librarians>
- There are Library workshops specifically for postgraduate students and can be booked online at: <http://www.library.aut.ac.nz/i-need/workshops>
- You may also contact the Research Support Coordinator Ann Chen for research consultations: achen@aut.ac.nz.

Document Delivery and Distance Services

- ArticleReach Consortium: Staff and students of AUT are registered to 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 on Library Search.

- Bonus+ scheme: Staff and students of AUT 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 on the 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 at: <https://library.aut.ac.nz/i-need/an-interlibrary-loan>
- Distance Library Service: 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). Information about this service can be found at: <http://www.library.aut.ac.nz/i-am/a-distance-student>

ULANZ National Borrowing Scheme

ULANZ National Borrowing scheme: AUT staff and 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 Support Services within the Library

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, sentence and paragraph writing, writing literature review assignments and oral presentations.

Learning Advisors also offer seminars specifically for postgraduate students related to managing the postgraduate journey and writing various aspects of your thesis or dissertation: abstract, introduction, literature review, methodology, results, discussion, and conclusion. In addition Learning Advisors offer postgraduate homework clubs where you are welcome to bring along your assignment, proposal or thesis/dissertation writing or presentation tasks to work on. These workshops, seminars and clubs are available on all three campuses and you can book to attend from the Workshops tile on the Library website provided below.

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

www.library.aut.ac.nz

The Graduate Research School and Library Information and Research Services also provide workshops and seminars to support researcher development (see page 12 Researcher Development and page 17 Library's Information and Research Services respectively).

<http://www.aut.ac.nz/student-learning>

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 characters followed by three digits e.g. abc1234 You can find your network login on the bottom right corner of your student ID card.

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 3 WA Building, North Campus: AL Building, or South Campus: MB Building) to get your user name and password.

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

The standard AUT email address format for students is loginname@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

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 startup 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

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 166.

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

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 CareerHub, 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

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

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

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

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 consultations¹.

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

22

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

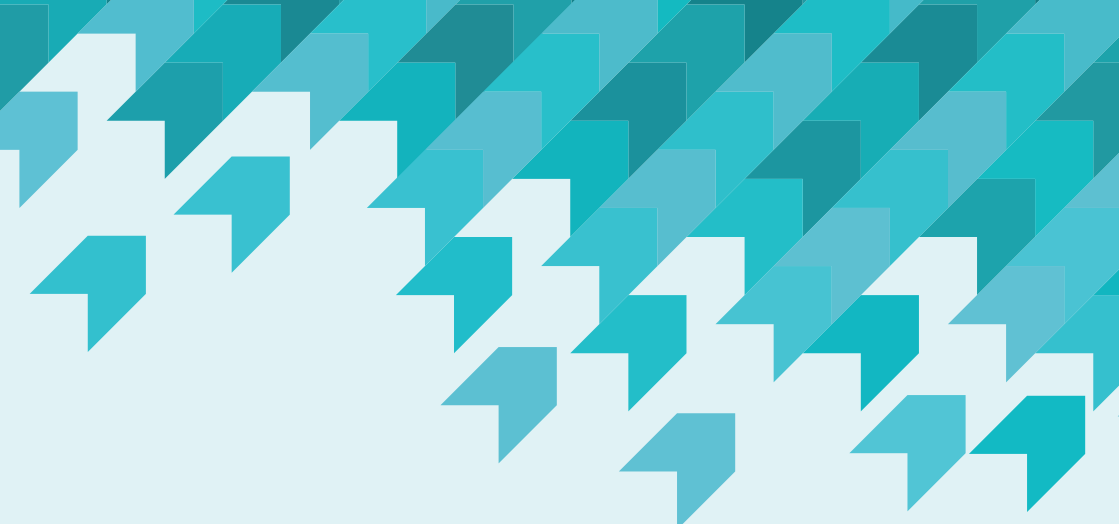
Location: MB107b
8.30am–4.30pm Mon, Wed, Fri

¹ Material costs and fees for non-routine consultations may apply.

Phone: (09) 921 9292

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





ADMISSION

- 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.

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;
- Include 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.

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.

Entry Criteria

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.

29

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

- Research involves:
- The systematic study of a significant topic, issue or problem;
- Identifying the problem or issue;
- Outlining some key assumptions, methodology, and methods;
- Demonstrating the significance of undertaking data collection;
- Analysing the data, and discussing the findings;
- Offering a conclusion or recommendation.
- The finished product demonstrates originality, critical and independent thinking, appropriate organization and format, and thorough documentation.
- 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, or an artefact and exegesis, contains an intellectual enquiry of an appropriate topic, deemed equivalent to a minimum of 90 points.

A dissertation is submitted in partial support of an academic degree in which the student undertakes an independent scholarly investigation of an appropriate research topic, and/or a small scale research project deemed equivalent to a minimum of 30 points as a dissertation or research project document. Therefore, a research project is equivalent to a dissertation which contains research that is being undertaken where a master's contains coursework and research.

30

Within a bachelor with honours programme the research undertaken is always deemed to be a dissertation.

Students undertaking research within a master's or bachelor with honours programme are required to complete 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, for full-time students, one year of coursework and a one year thesis component (four years for part-time). 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 240 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 Profile¹

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 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:

1 Graduate Profiles for discipline Masters are available in each Postgraduate Programme Handbook.

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 requires a minimum of 120 points at level 8, including a research component of at least 30 points.

All four-year undergraduate honours degrees incorporate the award of honours for a particular level of achievement in their final year. A four-year bachelor's degree with honours must comprise a minimum of 480 points, normally with a minimum of 120 points at Level 8, in no case fewer than 60 points at Level 8, including a research component of at least 30 points. A minimum of 75 points at or above Level 7, and a minimum of 225 points in total at Levels 6, 7 and 8 is required.

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.

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://register.aut.ac.nz/Arion.Host.StudentOnline/#>, 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 2017 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>

Leading Researcher

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

- Considerable supervisory experience:
 - maintaining supervisor eligibility, see page 50
 - having supervised a PhD to successful completion;
- A recognised doctoral qualification;
- Remaining research active, including recent evidence of international publications or equivalent recognition;
- Recent evidence of peer esteem and professional contribution.

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'.

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

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.¹ 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.

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

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

39

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

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

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 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 from an External Master's Degree to an AUT Master's Research Thesis

Where a master's student transfers from another university to AUT with a 120 points credit that student may be approved to enter directly into the thesis.

In transferring to non-research degrees, no more than 1/3 of the qualification being transferred may be credited to an AUT qualification.

When transferring to a research qualification a student may enter the research component with advanced standing.

The Faculty Postgraduate Committee will decide on time limits for the thesis, completion of the qualification and eligibility for the award of honours, on a case-by-case basis. Papers completed outside AUT will not be considered in awarding honours for the qualification.

In such circumstances, the timeframe is normally one year for full-time students and two years for part-time students.

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

Form PGR25 – Off-Campus Registration Agreement

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 for completing a PGR25- Off-Campus Registration Agreement, however, in some circumstances the Faculty Associate Dean (Postgraduate) may request that an Off-Campus Registration Agreement 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 Registration Form to be completed and submitted to the Faculty Postgraduate Board with a detailed plan on how the research project will be managed (can be an appended document);
- The supervision agreement must be completed and submitted with the Off-Campus Registration form
- Off-Campus registration details should be outlined in the supervisory agreement.

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:

<http://www.aut.ac.nz/study-at-aut/postgraduate-study/graduate-research-school>

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 Degrees¹

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. 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.

43

Faculties may require applicants to submit academic references along with their application for admission. Doctoral applicants in the School of Engineering whose admitting qualification is from a university other than AUT are required to submit two academic references with their application.

- 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 and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the 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 involving human or animal subjects.

1 The date of admission is not necessarily the date studies commence

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 31.

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 by email and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the 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.

For information regarding the deferment of an enrolment, please 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 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 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 committee¹ 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.

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.

1 University Postgraduate Board for the Master of Philosophy.

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

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

- Supervision guidelines
- Supervision agreements
- Code of practice
- Responsibilities

RESEARCH SUPERVISION

Supervisory Eligibility

The University provides guidelines for supervisor eligibility at bachelor's with honours, master's and doctoral level. Supervision seminars are available for academic staff to help encourage quality supervision of postgraduate student research.

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

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.

In order to be approved for the AUT Supervisors register, all supervisors must attend the pre-supervision (Being a Supervisor at AUT, Expectations, Roles and Responsibilities) workshop, on AUT processes and procedures for supervising research students.

Academic Staff Preparation and Ongoing Competency as a Supervisor

In order to be eligible to supervise postgraduate student research, staff must complete the mandatory workshop "Being a Supervisor at AUT" which covers university policies, practices and processes around supervision. In addition, to maintain currency in the supervision role all supervisors must attend AUT University Supervision Workshops on a biennial basis.

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 removal from the register.

Supervisors require expertise in the field in which the student research is located. This expertise may be methodological or discipline/subject-based

In order to maintain competency, academic staff must continue research activity, attend ongoing supervision /research seminars and produce one peer reviewed paper or equivalent per year, as evidence of continuing scholarship.

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.

Staff Development for Supervisors

All AUT postgraduate research supervisors are expected to attend a pre-supervision seminar and undertake supervisory professional development on an ongoing basis. No University supervisor is appointed without acknowledgement that they are competent to supervise the research, or a supervisory mentor is appointed if this is not the case. (See Code of Practice on page 54).

External Supervisors

Form PGR22 – Appointment of 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. Faculties should complete a PGR22 and send a copy along with the admission documents to relevant admitting body.

Doctoral Degrees

Doctoral Supervisors must normally have a doctoral degree and expertise in a relevant field or discipline and/or methodology in order to supervise a PhD, DHSc, EdD, and MPhil and be active researchers. They must normally have supervised to completion otherwise require a mentor supervisor nominated and approved.

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

- One supervisor acts as the first or primary supervisor with responsibility for student supervision on a regular and frequent basis, and is responsible for monitoring progress of candidature;
- One supervisor must normally be experienced in research and supervision of students to the successful completion of a doctoral level research thesis;
- One supervisor should have extensive knowledge of, and expertise in, the general field of research nominated by the student;
- The primary supervisor normally holds a doctorate in the relevant field or discipline.

Where supervisors do not have the experience of supervising a doctoral thesis to completion, an approved mentor selected from a panel of supervisors is appointed to guide them through the supervision process. A supervisory mentor is allocated to a supervisor/supervisory team for the mentoring of the supervisor(s) rather than the student. The supervisory mentor is approved by the faculty at the time of development of the admission proposal (e.g. PGR2 – Page 52).

Master's Degrees (including Bachelor's with Honours)

Supervisors must have a minimum of a research master's degree and be active researchers. They must have supervised to completion otherwise require a mentor supervisor nominated and approved and:

- Normally hold a doctoral or master's degree and/or have an appropriate record of scholarly publications or scholarly activities;
- Should be experienced in the supervision of students to the successful completion of a master's thesis/dissertation/research project/exegesis;
- Have sufficient time and access to appropriate resources;
- May be assisted by other members of the University staff including a supervisory mentor, either formally or informally;
- May refer the student for advice to any specialist within or outside the University.

Thesis/Dissertation/Research Project Supervision

Research for a master's and bachelor's with honours thesis/dissertation/research projects normally requires one supervisor. Where a supervisor does not have the experience of supervising a master's thesis or dissertation to completion, an approved mentor selected from a panel of supervisors is appointed to guide them through the supervision process.

The responsibilities of a supervisor include:

- Supervision on a regular and frequent basis;
- Monitoring progress;
- Being experienced in research and/or supervision of students to the successful completion of a postgraduate degree;
- Extensive knowledge and expertise in the general field of research nominated by the student.

Practice-Focused Thesis

Where the thesis is practice-focused, two supervisors will normally be appointed. One supervisor will act as primary supervisor, with responsibility for regular supervision and monitoring progress with the student. The remaining requirements may be fulfilled as appropriate and agreed between the two supervisors.

Dissertation Supervision

Requirements for dissertation supervision are determined by individual faculties.

Supervisory Mentors

Where the above requirements are not met a supervisory mentor may be appointed (for both doctoral and master's supervisory team). A mentor must:

- Have supervised a doctoral student to successful completion and/or provide evidence of considerable experience as a successful supervisor;
- Be familiar (or had experience) 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;
- Normally be appointed through negotiation with the mentee and the Associate Dean (Postgraduate). This is approved on the admission forms, PGR1 or PGR2 or the change of supervisor form, PGR7;
- Be appointed as a mentor but may also be appointed as a supervisor as well.

A supervisor without experience to completion must have a supervisory mentor appointed for overseeing, discussing and signing off of the:

- Admission – Application and Research Proposal (PGR1;PGR2);
- Supervision agreement;
- Progress reports;
- Full research proposal (PGR9) for confirmation of doctoral candidature;
- Appointment of examiners;
- Submission and readiness of the thesis/dissertation to be lodged for examination (PGR12);
- Revisions or amendments (major or minor) to the thesis.

In addition, the supervisory mentor must meet with the supervisory team on a regular basis to ensure that supervision is within the code of practice. 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 supervisory 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) or GRS. The supervisory mentor can initiate discussion of any other issues that may arise during supervision which may require expert guidance.

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

Supervisor Register

The GRS produces a register of primary and secondary supervisors based on the eligibility criteria above.

The Supervisor Register records supervisors' academic qualifications; supervisory

workshop completions; levels of prior supervisory experience; 'leading researcher' status; and primary supervision eligibility; and continued eligibility (see page 50).

The Supervisor Register is consulted prior to consideration of any new postgraduate research applications.

Any staff member who becomes eligible to supervise during the year may request to be added to the Supervisor Register. Any relevant research outputs will need to be verified.

Code of Practice for Supervisors

General Responsibilities of Supervisors

The principal responsibility of research supervisors (whether primary or secondary) is to be accessible advisors who encourage and assist students to develop standards of achievement which will result in a thesis/dissertation that meets the criteria for successful completion.

Prior to supervising at AUT all supervisors who are new to AUT are required to attend a workshop facilitated by the Graduate Research School (GRS). This seminar introduces supervisors to AUT processes for supervision and administration of research students. Completion of the workshop enables the supervisor to be added to the University supervisor register which is a requirement prior to approval as a supervisor.

Supervisors, in conjunction with the Associate Dean (Postgraduate) will assist students to fulfil all academic and administrative requirements promptly, satisfactorily and to a scholarly level.

Supervisors, in consultation with the student, 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 a Research Supervision Agreement which is completed with all the supervisory team. Please refer to "Supervision Agreements" page 59.

Administrative and Academic Responsibilities

As part of the academic supervision of a student's progress, supervisors (whether primary or secondary) are:

- Required to be familiar with the University regulations governing postgraduate programmes with regard to all information given to students;
- 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;

- Required to discuss intellectual property issues with the student and assess the commercial potential of the research;
- Responsible for submitting ethics applications in consultation with the student (see Research Ethics Section of the Postgraduate Handbook);
- Responsible for guiding and challenging the student's development as a researcher, thesis writer and critic.

On appointment, a primary supervisor must be an AUT academic staff member and will have overall responsibility for the administrative welfare of students in such matters as:

- The coordination and guidance involved in academic supervision;
- Notifying the faculty postgraduate committee of recommendations for appointment of additional supervisors or changes to the supervisory team;
- The responsibility for guiding the student through the ethical approval process;
- Monitoring reports on student progress toward completion of research;
- Nominating examiners in consultation with the supervisory team;
- Ensuring students format their work appropriate to the pathways undertaken;
- Signing 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.

As part of the academic supervision of a student's progress supervisors (**both** primary or secondary) are responsible for:

- Negotiating and agreeing to the student's topic;
- Responsible for drawing to the attention of the student relevant aspects of the regulations and ensure that they report as required to the relevant committee;
- Monitoring progress of students and completing each semester the progress report with the student;
- Meeting/contact with the student a minimum of once every month;
- Advising students about University resources available to them so that they are able to make full and proper use of appropriate data sources and resources to assist their research development;
- Assisting 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;
- Assisting students in planning an appropriate course of collateral reading, suggesting relevant background reading and giving advice on the literature review;
- Providing guidance on the theoretical frameworks, models, methodology,

- methods and standards of research;
- Submitting 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;
- Advising students of the aims, scope and presentation of the thesis/dissertation, monitoring and discussing progress throughout candidature and commenting critically on the final draft;
- Discussing, assessing and guiding the progress of students at regular intervals;
- Giving guidance on necessary completion dates of successive stages of the work so that the whole may be submitted within the scheduled time;
- Assisting students with recording, planning and reviewing progress between contact/meetings, and indicating goals for the next period;
- Providing feedback on written work with constructive criticism and within a reasonable time;
- Encouraging 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;
- Advising a student of any inadequacy of progress or of standards of work below that generally expected;
- Documenting progress, issues and concerns regularly.

Responsibilities of the Associate Dean (Postgraduate) or Delegated Academic Authority for all Research Students

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 of academic supervision;
- Monitoring progress of students undertaking theses or dissertations;
- 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.

Student Responsibilities

The responsibilities of students include:

- Selecting and negotiating a topic for thesis/dissertation in consultation with their supervisor(s) and submitting a proposal to the relevant postgraduate committee; refining and negotiating a formal research proposal in consultation with the faculty and submitting a proposal to the faculty postgraduate committee;
- Working with the supervisors to obtain approval from the University Ethics Committee and/or other ethical approval as appropriate;
- Completing a supervision agreement in consultation with the supervisor/s;
- Maintaining contact 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;
- Discussing with the supervisor the type of guidance and comment they find most helpful and agreeing on a schedule of meetings;
- Responding to arrangements proposed for supervision and the advice and instruction given by the supervisor;
- 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.

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 in the semester that the supervisor is going on sabbatical. This must be part of the sabbatical/study leave proposal and approval process. Arrangements 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.

Student/Supervisor Problems

In the case of students whose work is not proceeding satisfactorily for reasons outside their control, or who do not have an effective working relationship with their supervisor, the programme leader or Associate Dean of the faculty (or delegated authority) may where necessary arrange for a suitably qualified replacement supervisor to be appointed by the faculty postgraduate committee or University Postgraduate Board. For further detail, refer to Resolution of Problems on page 88.

Supervision Support

The GRS provides support for postgraduate research supervision.

University-wide activities include:

- Supervisor workshops and training;
- Examiner workshops;
- Workshops with supervisors and students;
- Student workshops.

Faculty-based activities include:

- Workshops with students and supervisors;
- Evaluation and information for improving practice;
- Individual staff and student consultation.

Overall objectives for the pre-supervision seminar and ongoing supervisor professional development programme are:

- To improve knowledge about University, faculty and department expectations and regulations regarding postgraduate supervision;
- To exchange ideas about the roles and expectations of postgraduate supervisors;
- To discuss issues and problems that might arise, and to suggest solutions as postgraduate supervision progresses;
- To plan for the future and anticipate developments;
- To create a network group of supervisors;
- To enhance the quality of supervision across AUT.

The main objective for the University as an organisation is to maximise the student learning experience and enable successful completion of the supervision process, including successful assessment of the thesis/dissertation.

The faculty postgraduate committees provide reports to the University Postgraduate Board, along with the student progress reports and programme annual reports, in order to contribute to the overall monitoring of the University's quality assurance processes for postgraduate programmes.

An annual plan of supervision workshops and forums will be advertised in advance.

The supervision seminar series includes:

- Eligibility to supervise;
- Thesis/dissertation research proposal – supervisor's role;
- Code of practice for supervisors – responsibilities and accountabilities;
- Negotiating the research supervisor's agreement with the student;
- Trends and problems of supervision (in New Zealand and overseas);
- University and faculty expectations, requirements and resources;
- Student and supervisor expectations;

- Models, roles and responsibilities of supervision;
- Examples of good supervision practice;
- Mentor supervision;
- Thesis/dissertation assessment/examination;
- Legal issues associated with research and postgraduate supervision;
- Providing feedback to students.

Research Supervision Agreement

In order to facilitate the supervision process, a proforma 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: <http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/supervision-support/supervision-agreement>

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.

Rights and responsibilities of both student and supervisors are outlined in the Postgraduate Handbook.

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/centre 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 / choice of external assessor (who, when) / 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 83 - Intellectual Property Rights.

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?

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?

64

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 external assessor? 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?

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.

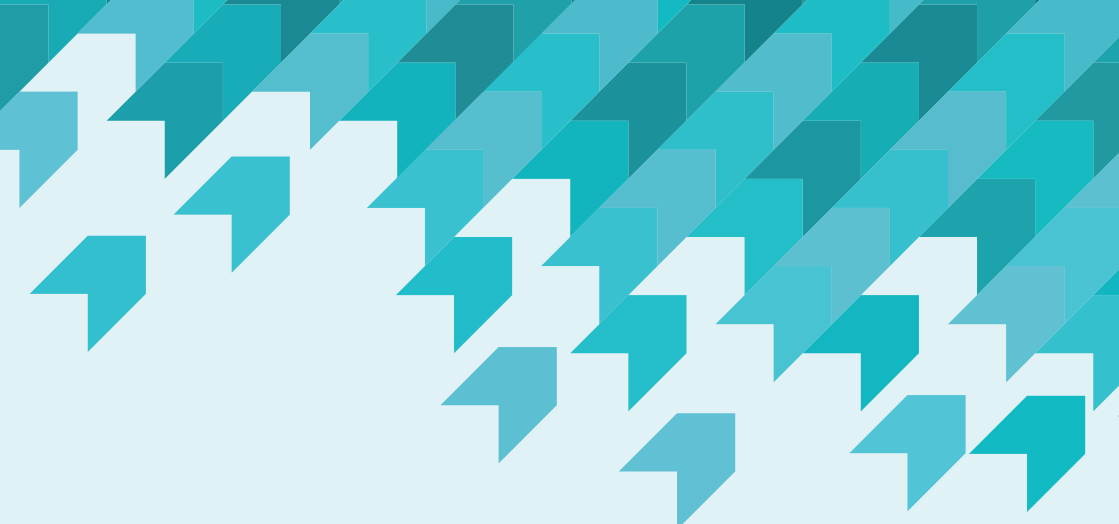
See page 83 – Intellectual Property Rights.

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
360 Point Thesis			
	3 Years	4 Years	6 Years
240 Point Thesis			
	2 Years	3 Years	4 Years
120 Point Thesis			
Full-time	1 Year	1 Year	1 Year
Part-time	2 Years	2 Years	3 Years
90 Point Research Paper			
Full-time		1 Year	*
Part-time		2 Years	*
60 Point Research Paper			
Full-time		6 Months	*
Part-time		1 Year	*
45 Point Research Paper			
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 74).*
- *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 74).

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 75).

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 78), 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);
- 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.

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.

The PGR9 will be subject to a Faculty review process based on the principals of academic review and presentation at a Faculty forum and the provision of associated 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 PGR9 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.

Normally, a student will not be able to submit their PGR9 for approval more than twice to the Faculty Postgraduate Committee. 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.

Form PGR9 - Confirmation of Candidature

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.

Business Cards

Doctoral students who have had their candidature confirmed will 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

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 supervisor(s) then sign(s) the relevant section of the form and ensure(s), 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 are then forwarded to the GRS 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

An applicant may, with the approval of their supervisor, seek approval for the deferment of commencement of their research for a period of up to 12 months from the estimated start date indicated on the PGR1 – *Postgraduate Research Proposal* or PGR2 – *Admission to a Doctoral Programme* form. The applicant should submit the PGR6 form to the appropriate faculty or school to notify of their intention to defer.

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. 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.¹ 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

1 Applications for extension by students in the MPhil programme will be approved by the UPB.

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 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).). The minimum timeframe for a leave of absence for a masters or bachelor's with honours student is one month, 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 (and mentor, if appropriate) are expected to complete a 'Research Supervision Agreement' with the student. Please refer to the 'Code of Practice for Supervisors' on page 54.

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 if it can be shown that additional information has become available which was not available, and could not reasonably have been made available, to the Board at the time it made its original decision. Any such appeal must be lodged with the Board within 14 days of the time at which the decision was made available to the student.

If the student remains unsatisfied, a further appeal may be made to the Vice-Chancellor of the University against the recommendation of the University

Postgraduate Board. Any such appeal must be lodged with the Vice-Chancellor within 14 days of the time at which the decision was made available to the student.

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

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, see the AUT website at: <http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/conflict-of-interest>

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: <http://www.nhmrc.gov.au/publications/synopses/r39syn.htm> and the Vancouver Protocol can be located at: <http://www.icmje.org/>

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.

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).

Turnitin

The University may use Turnitin 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 115 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

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 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.

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;
- 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;
- 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

Grievances/Complaints in Respect of Thesis/Dissertation

A good supervisor/student relationship does not happen automatically; it may be difficult to establish and maintain. To facilitate the supervision process, a Research Supervision Agreement is used for all student supervision. A template can be found at the following AUT web-page. <http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/supervision-support/supervision-agreement>

During any student's supervision, problems may arise for both the student and/ or the supervisor. It is desirable that these are addressed and settled as quickly as possible within the student's faculty, through the programme leader.

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.

If the problem is one of the following:

- An irreconcilable personality clash between the supervisor and student;
- The development of the research topic means that the supervisor's area of expertise is no longer relevant, then the student or supervisor may request a change of supervision without discredit to either party.

The procedure is as follows:

- Master's students or their supervisor should request the programme leader or Associate Dean (Postgraduate) to nominate a replacement supervisor. The faculty postgraduate committee¹ will approve a replacement supervisor on receipt of an appropriate nomination. The nomination should be endorsed by the student, programme leader and Associate Dean (Postgraduate);
- Doctoral students or their supervisor should request that their programme leader or Associate Dean (Postgraduate) nominate a replacement supervisor. The University Postgraduate Board will approve a replacement supervisor on receipt of an appropriate nomination from the faculty postgraduate committee. The nomination should be endorsed by the student, supervisor and faculty postgraduate committee.

The Library may also be able to provide support for supervisors and their students as part of the process of facilitating good practice in postgraduate supervision.

Where a problem or grievance cannot be resolved between the student and the primary supervisor, they should seek the advice of the programme leader, Associate Dean (Postgraduate), or Dean of faculty, who may arrange for the second supervisor to

1 University Postgraduate Board for the Master of Philosophy.

assist with resolution of the problem.

For problems that remain unresolved the grievance procedure for postgraduate students is:

- The student should state the grievance in writing and place it before the Dean of the faculty;
- The Dean should determine whatever measures appropriate to resolve the matter;
- The Dean will ensure that accurate records are kept of all meetings and actions taken;
- If no resolution of the grievance can be achieved the matter can be referred to the University Postgraduate Board;
- The Chair of the University Postgraduate Board will take whatever measures appropriate to reach a resolution and recommend a course of action to the University Postgraduate Board;
- The Chair will ensure that accurate records are kept of all meetings and actions taken.

The University Postgraduate Board determines the most appropriate course of action to resolve the grievance.

90

Where problems are more complex, the resources of the University's counselling service may be required. Students and their supervisors should be aware of the specific counselling support available through 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.

Complaints Procedures¹

The relationship between students and lecturers is of a critical, but delicate, nature. The maintenance of a sound relationship requires commitment from both parties. The Auckland University of Technology looks to both its staff and students to work together to achieve an effective relationship that can resolve problems directly if possible. However the University recognises that this goal may not always be achievable. The following paragraphs outline the action that should be taken if a student considers that the way in which matters have been handled is not appropriate, or if they are dissatisfied with the treatment he or she has received.

A student who is dissatisfied with any aspect of the service being given, either by academic staff, administrative staff or any other of the University's service providers, is advised to take the following action:

- 1 Dissatisfaction with respect to an academic assessment is not treated as a complaint. Refer to Part 5: Section 6, and Part 6: Sections 1 and 2, General Academic Regulations regarding reconsideration of assessments and appeals against results on pages 107 and 108 of the Academic Calendar. Students may however lodge a formal complaint under these procedures if they consider that some part of the academic appeal process has been unfair or disadvantageous.

Step One

The student should raise the matter first with the person responsible for providing the service considered unsatisfactory or, if that is clearly inappropriate, raise the matter with the programme leader or the manager of the service area involved¹.

Step Two

As a general rule, the person to whom the complaint has been made will work to have the matter resolved to the student's satisfaction. If the problem persists, or the student is dissatisfied about the way the matter has been handled, he or she should request a meeting with the following: For Faculty issues – the programme leader, head of department, school or the faculty registrar. For general AUT issues – The Director responsible for the service area².

Step Three

If steps one and two have been followed and this does not lead to a resolution of the problem to the student's satisfaction, the student may lodge a formal complaint. Any formal complaint must be made in writing and be addressed to the Head of Student Relations. The written statement must outline clearly the student's concerns. A formal complaint may be submitted directly by the person concerned, or by AuSM on behalf of the student. The Head of Student Relations will investigate the complaint and reply in writing to the student concerned.

Appeals

Appeals against Results

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

Appeals Against an Examination Board Decision

A student may appeal against:

- The final result determined by the examination board in respect of a paper;
- The outcome of an RPL reconsideration;
- A decision to not allow re-enrolment in a programme or paper. Any such appeal may only be made if it can be shown that:
 - Additional information has become available which was not available, and could not reasonably have been made available, to the examination board at the time it made its original decision;
 - There was a material irregularity in the conduct of the assessment, or in the examination board or board of studies procedures.

Any such appeal must be lodged with the Dean of the Faculty within 14 days of the time at which the result of the paper was made available to the student.

- 1 Further advice and assistance in resolving any issues and who to contact can be obtained from a Student Services Student Advisor.
- 2 AuSM can also provide assistance and are able to represent students on any step along the way

Where an appeal is made the following procedures shall apply:

- The Dean shall determine whether the notice of appeal complies;
- Where the notice of appeal complies the Dean shall refer the appeal to the faculty appeals committee;
- The faculty appeals committee shall inform the student of the procedures that will be followed and the date for the faculty appeals committee meeting;
- The faculty appeals committee shall obtain a report from the examination board;
- The student shall be invited to make a submission and appear before the faculty appeals committee;
- The student may be accompanied to any hearing by a member of AuSM and/or a person of their choice;
- The faculty appeals committee shall consider the report from the examination board and any submissions from the student;
- The faculty appeals committee may either uphold or dismiss the appeal, and may confirm, raise, or lower the appealed result;
- The decision of the faculty appeals committee shall be notified to the student, the faculty board and the examination board;
- The decision of the faculty appeals committee shall be final.

Thesis/Dissertation Appeals

A student may appeal against a thesis / dissertation outcome decision.

Any such appeal may only be made if it can be shown that:

- Additional information has become available which was not available, and could not reasonably have been made available, to the examination board at the time it made its original decision;
- There was a material irregularity in the conduct of the assessment or in the examination procedures.

Any such appeal must be lodged with the University Postgraduate Board within 3 months of the date of notification of the result.

Where an appeal is made the following procedures shall apply:

- The [Chair of the UPB] shall determine whether the notice of appeal complies;
- The University Postgraduate Board shall submit the case for review within 3 months of the date of receipt of the appeal;
- The appeal shall be considered by a review panel established by the University Postgraduate Board;
- The panel shall be comprised of persons who have experience of supervising and examining postgraduate degrees and who have had no previous involvement with the student and who has not been involved in determining the outcome.

If the review panel agrees that a student has valid grounds for the appeal it may include

but not be limited to; recommending a review of the outcome or a re-examination of the thesis by an existing examiner(s) or appoint a new examiner(s)

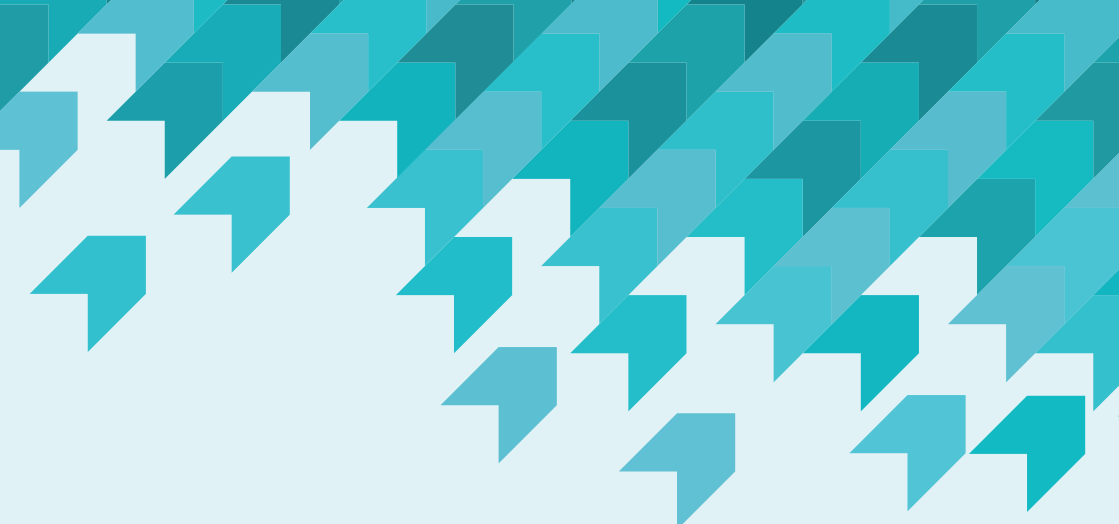
Specific Learning Difficulties

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).

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 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 NZVCC, CUAP Functions and Procedures 2009.

Theses and Dissertations

Students should familiarise themselves with the regulations for theses or dissertations specified within the Standard Qualification Regulations for postgraduate programmes. See the AUT website for the Academic Calendar.

Doctoral theses are at level 10. A PhD thesis normally equates to a period of three to four years of work. The thesis for a professional doctorate normally equates to a period of two to three years of work.

AUT distinguishes between a master’s thesis and dissertation, where a minimum of 90 points at level 9 is attached to a thesis. A dissertation requires a minimum of 40 points and fewer than 120 points at level 9.

A bachelor’s degree with honours dissertation requires a minimum of 30 points and fewer than 120 points at level 8.

A thesis/dissertation is presented in English unless approved otherwise by the University Postgraduate Board.

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:

https://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/submitting-work,-exams-and-academic-records/submission-of-theses-in-te-reo-maori/_nocache

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

Thesis Length

The following is a guide only.

A master's thesis which is wholly in written form is normally between **20,000** and **40,000** words (excluding bibliographies), depending on the topic and the specific research undertaken, with an upper limit of **60,000** words. This varies depending on methodology and the relevant points value of the research e.g. 60 points vs 120 points.

A doctoral thesis 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.

Theses with Practice-Led Component¹

Where programme regulations allow, a thesis may incorporate practice-led work. In such situations the thesis component is to be comprised by an artifact, 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-led, the artefact should be accompanied by an exegesis. The exegesis relates directly to the practice-led 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. In the situation where an exegesis constituting 20% of the overall thesis is substantially written, a minimum word requirement of **4,500** words for a Bachelor (Hons) and **6,000** words for a Master's exegesis is required with a maximum of **8,000** words for either; and a **30,000** word minimum for a doctoral exegesis (which is normally between **40,000** to **50,000** words), excluding bibliographies or appendices. Where other means are used to satisfy exegesis requirements, indication of scale should be given in a manner appropriate to the nature of the material.

Where appropriate, a discussion will be scheduled between the student and examiners in the presence of an exhibition/presentation of practice-led 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 thesis presentation.

Dissertations

A dissertation 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 may involve a critical analysis and evaluation of the literature pertinent to a selected topic, together with identification of and the rationale for potential areas for further research.

A dissertation 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. 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 are determined by individual faculties, and approved

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.

by programme boards of studies and postgraduate committees.

Where appropriate, as for the practice-based theses, a discussion will be scheduled between the student and examiners in the presence of an exhibition/ presentation of practice-based 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 presentation.

Dissertation Length

The following is a guide only.

A dissertation 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.

FORMATTING AND PRESENTATION

Note:

- *Processes for research projects are the same as for dissertations but will be undertaken within faculties.*
- *The terminology around the 'pathways' is currently being reviewed and will be updated in 2018, along with the requirements for what is currently referred to as 'pathway 2'.*

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 is completed and included as necessary at the time the first draft is submitted. This is to ensure that word counts are met, pathway structures are adhered to, that the thesis has been submitted to Turnitin, 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;
- Pathway 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.

<https://www.aut.ac.nz/study-at-aut/postgraduate-study/postgraduate-centre/?a=114410>

Editing and Proofreading

A high standard of editing of the work submitted for examination is expected. If professional editing and 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.

<http://www.aut.ac.nz/being-a-student/starting-out/postgraduates/academic-information/academic-study-support-and-resources/editing-and-proofreading>

Turnitin

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 115 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 are to be typed on International Standard Organisation (ISO) 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: equivalent to Times New Roman 12 point or Arial 10 point

Typing is to be on one side of each sheet only (double sided by request to the Associate Dean (Postgraduate), with the pages numbered consecutively throughout the thesis/dissertation. 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.

The following minimal margins are to be observed:

Left - 4 cm

Top and bottom - 2 cm

Right - 2 cm

Thesis/Dissertation/Exegesis Structure (Pathways)

Three presentation pathways 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.

Pathway One:

This 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. It fits within the word requirement of 20,000 and 40,000 words (excluding bibliographies) with an upper limit of 60,000 words for master's thesis and 60,000 and 80,000 words, with an upper limit of 100,000 words for a doctoral thesis.

Exemplar Pathway 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).

Pathway Two: (Doctoral Students Only)

This pathway may include distinct studies/publications which must be adapted in chapter format.

The purpose of this pathway is to encourage students to publish papers in peer reviewed journals during their research. It is expected that the thesis will include chapters adapted from a minimum of three papers, two of which are to be accepted or published in peer-reviewed journals by the time of thesis submission. Otherwise students are advised to submit under Pathway One. The student is required to be the principal author with a contribution of at least 80% of the published work. The published papers need to be presented and formatted in a way that the thesis/dissertation reads as a cohesive whole. 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. Word limits are the same as for Pathway One.

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.*

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.

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/postgraduate-forms>

Master's and Bachelors with Honours theses and dissertations should follow the traditional pathway one presentation as there is not sufficient time to undertake the requirements of at least three papers which are accepted or published in peer reviewed journals by the time of thesis submission. It is therefore recommended that the pathway one or pathway three presentation be followed.

Exemplar Pathway Two chapter format:

Theses incorporating publications must have an introduction with the thesis question, research objectives, description of the research problem and clear linkages to all the published papers in the thesis. The student must describe the connection between published papers so that the thesis presents as a coherent whole, logically flowing from one chapter to the next. They must include a literature review, a methods chapter if appropriate, the published papers and a comprehensive conclusion which clearly identifies the original contribution to knowledge of the subject area with which it deals. The introduction could incorporate a substantial literature review. The latter may also be presented in a stand-alone chapter. The introduction and conclusion should draw together the conclusions/discussions of each study and, in doing so, answer the overarching research question investigated. It is essential that the thesis/dissertation reads as a cohesive whole and indicates the new contributions to knowledge. A possible structure may be:

Thesis abstract

Introduction

Literature Review

Research Design/Methodology/Methods

Published papers (at least three) in chapter format

Discussion/conclusions

References

Pathway Three:

In a Pathway Three thesis, it is generally understood that practice does not serve to illustrate theory but is more appropriately understood as the site of research.

(i) *Thesis is presented as a project report and artefact for examination.*

The length of a project report (including literature review) requires a minimum word requirement of 6000 words for a Master's exegesis and is generally expected to be between 8000 to 10,000 words; and 30,000 words minimum for a doctoral exegesis, and is generally expected to be between 40,000 to 50,000 words.

The method of presentation of the remainder of the thesis may be written and/or may include such artefacts as visual material, video, designed artefact or examples of resources, for example:

- If a client education video has been produced as the major focus of the practice project, then the video itself would form a major component of the presentation;
- If the practice project involved a series of changes over time, a visual record of the impact of those changes could form an important part of the presentation;
- Another example of a practice project could involve the development of an innovative piece of equipment to assist clients or the development of a new design artefact. That piece of equipment or artefact would become a component of the presentation.

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.

(ii) *Thesis presentation comprising an exhibition of creative work and exegesis.*

The exegesis is wholly written with a minimum word requirement of 4,500 words for a bachelor's with honours and 6,000 words for a master's exegesis with a maximum of 8,000 words for either; and 30,000 word minimum for a doctoral exegesis, which is normally between 40,000 to 50,000 words.

The remainder of the presentation comprises an exhibition of creative work.

Exemplar Pathway Three Exegesis/Project Report chapter format:

A full explanatory introduction

A substantial review of the literature

Detailed description of methodologies and data

Discussion of relevant theoretical, historical and critical context

A discussion that overviews the thesis project

Thesis/Exegesis Layout

The thesis or exegesis should be structured in the following order:

Title page

The first page of the thesis/dissertation is to contain the following elements:

- Student's name;
- Full title of the thesis/dissertation/exegesis;

- Year of lodgement (this should be the date¹ the research was submitted for examination);
- School, Division or Department;
- The lodgement statement appropriate to the degree.

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.

105

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.

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

1 If the research has been resubmitted for examination, then it would be this date that is recorded.

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.

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 Pathway 1, Pathway 2 or Pathway 3 are used. Exemplars of formats detailed on page 101-104.

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.

107

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: <https://www.aut.ac.nz/study-at-aut/postgraduate-study/postgraduate-centre/?a=114410>

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-Led Examination Process

The following sections refer to the processes for pathway 1 and pathway 2. A separate section outlining the requirements for pathway 3 Practice-Led research is located on pages 124–127.

Examination Timeframe

Examiners are asked to provide their reports within 8 eight weeks of receiving the thesis for doctoral examinations and that the oral examination normally takes place within 3–4 weeks of receiving the 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-Led

The process for the examination of practice-led 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

Note: *The University Postgraduate Board (UPB) has approved the trial of a new process for doctoral examinations, where two examiners will be required to conduct the doctoral examination. Both examiners will normally participate in the oral examination (either in person or via video-conference).*

Trial Requirements

The examiner criteria includes:

- *One New Zealand examiner and one international examiner*
- *At least one experienced examiner to be appointed, having examined more than three doctoral theses*
- *The New Zealand examiner may be an AUT examiner who has no perceived conflict of interest.*
- *Both can be international if a suitable NZ examiner is not available*
- *A third examiner may be appointed for reasons specified in the appointment of examiners form.*

The trial commenced in March 2017 and concludes in mid-2018.

Ordinary Requirements (pre-trial)

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 three examiners, two external to the University, one of whom will normally be from overseas; the third examiner may be from within the University. At least one of the examiners must be experienced in doctoral examinations, having examined more than three doctoral theses.

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. 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 dean, 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.

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, including during the confirmation process. It is highly recommended that supervisors do not overuse individual examiners.

Note: *The Appointment of Examiners Protocol will be updated in 2018 with examples of what might constitute a conflict of interest. Please refer to the protocol online in 2018.*

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-policies-and-regulations-where-they-are-published-and-how-to-get-copies-of-them#pghandbook>

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.

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. Previously qualified AUT doctoral students can examine however, 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. 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 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 three physical copies, or equivalent, and one digital copy of the thesis for examination with the faculty postgraduate office, accompanied by a completed PGR12 'Lodgement of Thesis for Examination' form. 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.

Copies for Examination

Examination copies do not need to be full bound. Plastic spiral binding is acceptable for this purpose. All examination copies should be produced using a method which gives a clear and permanent copy (offset print, dry photocopy or laser copy). The use of spirit duplication, wet photocopy, thermal copy or carbon copy is not acceptable.

The hard copies and the digital copy must include a signed Attestation of Authorship Statement (see page 105). The digital copy should be submitted on a USB drive and the postgraduate coordinator/administrator will transfer files to the Graduate Research School.

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/pathway, 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.

<https://www.aut.ac.nz/study-at-aut/postgraduate-study/postgraduate-centre/?a=114410>

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.

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 105.

Note that, for Pathway Two, co-authorship needs to be declared. Refer to attestation of co-authored works on page 106.

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 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.

AUT's Centre for Learning and Teaching (CfLAT) provide workshops for supervisors on understanding the similarity report through the Supervisor Workshops offered through the GRS's Researcher Development unit; supervisors can email 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

Once the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. Examiners will be asked if they wish to receive an electronic copy, spiral bound copy, or both. Examiners will receive a link to download the thesis and the hard copy will be sent by courier. 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 be sent for examination if there are any outstanding fees.*

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), 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. Where this occurs, the examiners' reports will be made available to the primary supervisor and Associate Dean (Postgraduate) to ensure that a suitable examiner is appointed in relation to the concerns raised.*

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 oral examination will take place within one 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 116–117, 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;

119

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. 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.

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

Process for Revision

The Associate Dean (Postgraduate) will oversee the resubmission process. The primary supervisor is responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a PGR20 outlining criteria where the examination criteria have not been met and detail the revisions required.

Where a new supervisory team is required they must be suitably qualified within the methodology and/or topic area. An agreement which details a plan and timetable for resubmission, including meetings, is to be signed by all parties and sent through the Faculty Postgraduate Committee to the University Postgraduate Board. Where an experienced supervisor is approved to work with the supervisory team, the person must have expertise in the methodology and/or area of scholarly inquiry. Any deviation to the 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.

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 the revisions are to the extent that this is not possible, the student may be recommended for Fail and the degree not awarded. This would be determined in conjunction with the examiners when the revise and resubmit outcome was determined.

In exceptional circumstances the time can be negotiated in order to successfully complete the revisions.

In order to support the student through the resubmission process, a schedule of monthly meetings between the supervisor and the student will be required. Where a six month resubmission is decided, monthly meetings are normally required; where a twelve month resubmission is decided, two-monthly meetings are normally required. Regular meetings to be held between Associate Dean (Postgraduate), student and supervisors and every two/three months the student should submit a written PGR8-progress report to be submitted via the Faculty to the University Postgraduate Board.

Resubmission

Following the completion of the revision, prior to re-examination, an independent assessment of the resubmission is required. The academic assessor will be nominated by the Faculty Postgraduate Examination Board and approved by University Postgraduate Board. The academic assessor will be sent the examiners reports,

required revisions and the revised thesis and a memo summarizing the amendments made by the student. The assessor will provide a written report which must address whether the required revisions have been made satisfactorily or recommends further work.

Once any amendments identified by the examiners have been made, the written report will be sent to the Dean of the Graduate Research School who will consider and approve the report under delegated authority from the University Postgraduate Board. The thesis will be sent for re-examination once approved.

A mock oral examination to assist the student to prepare for the oral examination is required, and should be arranged by the primary supervisor. The supervisors are able to act in the role of examiners for the mock examination. This could be conducted in the style of a seminar and other staff or students invited to provide feedback and question the student on their research.

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.

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.

Re-Examination

Once the revisions and independent review are 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, and

then only at the discretion of the University Postgraduate Board. 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 119–120 for amendment timeframes.

Student who have been awarded a fail grade will be given the opportunity to request an oral examination if they wish.

Examination of Practice-Led 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-Led 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 – Creative Works

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.

Doctoral theses are normally assessed by three examiners, one New Zealand based examiner, one Australian based examiner and one other 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 organise any travel and accommodation arrangements.

At this point, there must be no further contact from the supervisors and student.

Submission of the Exegesis – Practice-Led

Form PGR12 - Lodgement of Thesis for Examination

A student must lodge three physical copies and one digital copy of the doctoral exegesis for examination with the faculty postgraduate office, accompanied by a 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. All copies 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.

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 up to 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

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.

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. Two weeks after the oral examination examiners

will be required to provide final reports, including any amendments to the Graduate Research School for forwarding to the University Postgraduate Board for approval.

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-Led Examination Process

Much of the process for the examination of practice-led 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 dean, 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, including during the confirmation process. It is highly recommended that supervisors do not overuse individual examiners.

Note: *Examples of what might constitute a conflict of interest will be available on the GRS website in early 2018.*

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 for 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.

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. Previously qualified AUT doctoral students can examine however, 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 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 80 for guidelines and processes.

Submission for Examination

Form PGR12 - Lodgement of Thesis for Examination

A student must lodge three physical copies, or equivalent, and one digital copy of the thesis for examination with the faculty postgraduate office, accompanied by a completed PGR12 'Lodgement of Thesis for Examination' form. 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.

Copies for Examination

Examination copies do not need to be full bound. Plastic spiral binding is acceptable for this purpose. All examination copies should be produced using a method which gives a clear and permanent copy (offset print, dry photocopy or laser copy). The use of spirit duplication, wet photocopy, thermal copy or carbon copy is not acceptable.

The hard copies and the digital copy must include a signed Attestation of Authorship Statement (see page 105). The digital copy should be submitted on a USB drive and the postgraduate coordinator/administrator will transfer files to the Graduate Research School.

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/pathway, 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.

<https://www.aut.ac.nz/study-at-aut/postgraduate-study/postgraduate-centre/?a=114410>

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 105.

Turnitin

From January 2018, it is compulsory that theses and exegeses, except those presented in Te Reo Māori, be submitted to Turnitin 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.

AUT's Centre for Learning and Teaching (CfLAT) provide workshops for supervisors on understanding the similarity report through the Supervisor Workshops offered through the GRS's Researcher Development unit; supervisors can email 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

Once the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. Examiners will be asked if they wish to receive an electronic copy, spiral bound copy, or both. If required, an electronic version will be made available to examiners and hard copies will be sent by courier. 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):

- Critically review relevant literature in the field, and formulate a research question or issue;
- 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 Pathway 3 (practice led) 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).	Some discussion of a range of methodologies and methods with justification of methodologies adopted.	Acknowledgement of weaknesses / strengths of the methodologies and methods adopted.
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.
6. Present research thesis/dissertation at a scholarly level.		
Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
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 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) 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).

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 134–137 of the Postgraduate Handbook; 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.

Examination of Practice-Led Research

In addition to previously stated examination processes, the examination of practice-led research requires further points of consideration stated below.

Nature of Practice-Led 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-Led

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 hard copy and one digital copy of their exegesis to their respective Postgraduate Coordinator/Administrator at least four weeks prior to their examination. If examiners require an additional hard copy, this will be printed by the school and sent to the GRS.

The supporting written 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.

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 from the supervisors and student.

Where a reflection and final refining of the exegesis follows the examined exhibition or performance.

In exceptional circumstances a student may request that their exegesis be submitted subsequent to the viewing of the exhibition or performance.

In these circumstances a 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 up to 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

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.*
- *At this point, there must be no further contact 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 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 outcome¹.

¹ Where consensus cannot be reached, this will be clearly indicated and no grade or outcome registered.

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 University will make copies of the other examiners reports available.

It is also the policy of the University that all copies of the thesis/dissertation sent to examiners are returned to the University. If examiners fail to return the theses or dissertations, and do not respond to a further reminder that is as far as the University will take the matter; except where the thesis/dissertation is confidential.

Occasionally an examiner will ask to keep a copy of a thesis/dissertation and such a request may be passed on to the student after the examination process is complete.

Revise and Resubmit Process

Form PGR20 – Revise and Resubmit

The student 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 resubmission process. The primary supervisor is responsible for ensuring the required revisions have been made by the student. An agreement which details a plan and timetable for resubmission, including meetings, is to be signed by all parties.

It is expected that supervision meetings normally be held on a fortnightly/monthly basis and regular meetings to be held between the student and supervisors and reports on progress to the Faculty Postgraduate Committee/Faculty Examination Board.

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 the revisions are to the extent that this is not possible, the student should be recommended for Fail and the degree not awarded.

Once the review has been completed, the thesis/dissertation and practice related research projects will be sent to an independent reviewer approved by the Faculty Postgraduate Committee/Faculty Examination Board. The academic reviewer will be provided with the examiners' reports, required revisions (and evidence of completion of these by the student in a memorandum) and the revised thesis/dissertation. The reviewer will provide a written report which must address whether the required revisions have been made satisfactorily or recommends further work.

Resubmission

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.

Re-examination

Once the revisions and independent review are 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.

The student will be permitted to submit the thesis for re- examination only once.

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.

An example on how to calculate a grade point average please refer here:

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/award-of-honours-and-distinction>

147

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.

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.

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 and deposit form in AUT's Tuwhera Open Access repository at: <https://tuwhera.aut.ac.nz/open-theses>

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.

For technical assistance email the Research Repository Administrator: tuwhera.opentheses@aut.ac.nz

Embargoed Theses/Dissertations/Exegeses

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

The PGR15/PGR17/PGR18 deposit forms 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

Form PGR15 - Deposit of Thesis/Dissertation/Exegesis in the Auckland University of Technology Library

Doctoral students must deposit a digital copy, and PGR15 form in AUT's Tuwhera Open Access repository.

Master's Theses/Exegeses

Form PGR15 - Deposit of Thesis/Dissertation/Exegesis in the Auckland University of Technology Library

Master's thesis/dissertation/exegesis students must deposit a digital copy, and 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 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 166).

Theses/Dissertations/Exegeses with Practice-Based 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@fxprintheub.co.nz or phone 921 9999, ext. 8530.

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 168 for a list.);
- Year of lodgement 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 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.

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.

Qualifications

Once a qualification has been conferred, a graduate may use the qualification abbreviation after their name.

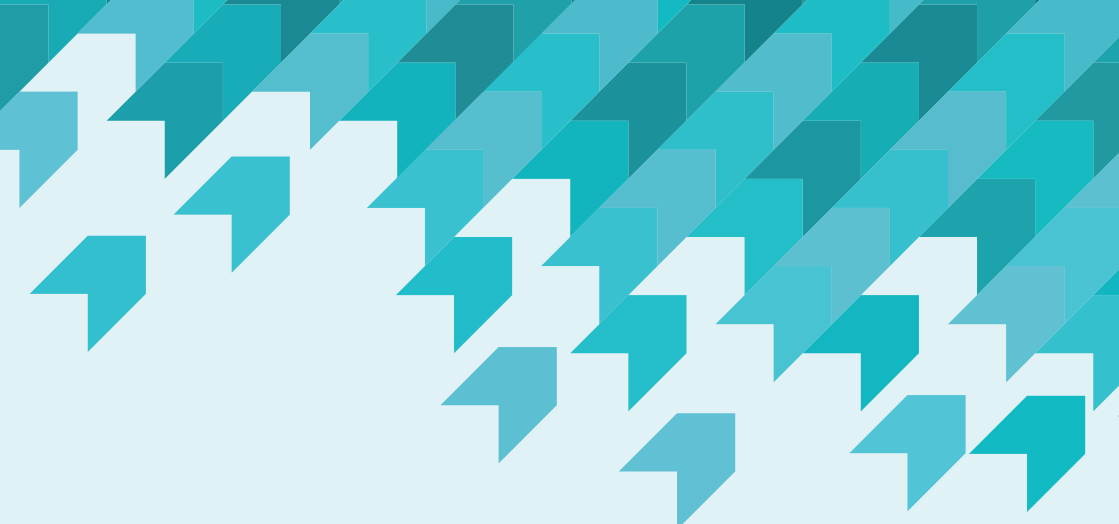
Graduates of doctoral degrees are entitled to use the honorific "Dr" once the qualification has been conferred.

Doctoral Graduands' Academic Dress Hire

The Graduate Research School will assist with the arrangements for graduation including complimentary hire, pick-up, fitting and return of academic dress. Graduands will receive individualised arrangements in their graduation package about the process.



CONTACT NUMBERS AND LOCATIONS



FACULTY CONTACTS

Graduate Research School (GRS)	
AUT, City Campus Ph: 09-921-9907 Email: postgraduate.centre@aut.ac.nz	
Dean of Graduate Research School	Professor Marion Jones, ext. 6545 Email: marion.jones@aut.ac.nz
Executive Administrator/Research Assistant	Katie Hayward, ext. 8094 Email: katie.hayward@aut.ac.nz
Manager – Graduate Research School	Martin Wilson, ext. 8812 Email: martin.wilson@aut.ac.nz
Postgraduate Services and Events Manager	Annette Tiaiti, ext. 8371 Email: annette.tiaiti@aut.ac.nz
Postgraduate Coordinator (UPB Secretariat)	Lisa Brien Herd, ext. 9375 Email: lisa.herd@aut.ac.nz
Postgraduate Coordinator	Scott Pilkington, ext. 9378 Email: scott.pilkington@aut.ac.nz
Postgraduate Coordinator	Jessica Yamamoto, ext. 8220 Email: jessica.yamamoto@aut.ac.nz
Postgraduate Coordinator (Examinations)	Jan Singhapan, ext. 9917 Email: jan.singhapan@aut.ac.nz
Postgraduate Officer (Examinations)	Kitty Huang, ext. 9340 Email: kitty.huang@aut.ac.nz
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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) Dr Andy Godfrey, ext. 9846 Email: andy.godfrey@aut.ac.nz Postgraduate Manager Dr Eathar Abdul-Ghani, ext. 9616 Email: eathar.abdul-ghani@aut.ac.nz
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	Postgraduate Administrator Min Milosavljevic, ext. 5763 Email: min.milosavljevic@aut.ac.nz
Master of Business Administration Master of Applied Finance Master of Global Business Master of Marketing Master of Professional Accounting	Director MBA and Professional Master's Ken Lee, ext. 9216 Email: ken.lee@aut.ac.nz Manager MBA and Professional Master's Nikki Thomson, ext. 9628 Email: nikki.thomson@aut.ac.nz

Faculty of Culture and Society

Programme	
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Doctor of Philosophy Master of Philosophy	Postgraduate Manager Dr Donna Channings, ext. 6345 Email: donna.channings@aut.ac.nz
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School of Education	
Programme	Programme Leader
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Master of Teaching and Learning	Dr Patricia Stringer, ext. 7414 Email: patricia.stringer@aut.ac.nz
Master of Education Bachelor of Arts (Honours) Postgraduate Diploma in Education Postgraduate Certificate in Education	Dr Ruth Boyask, ext. 7569 Email: ruth.boyask@aut.ac.nz
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School of Hospitality and Tourism	
Programme	Programme Leader
Master of International Tourism Management Postgraduate Diploma in International Tourism Management	Programme Leader Dr Heike Schanzel, ext. 6923 Email: heike.schanzel@aut.ac.nz
Master of International Hospitality Management Postgraduate Diploma in International Hospitality Management Postgraduate Certificate in International Hospitality Management	Jill Poulston, ext. 8488 Email: jill.poulston@aut.ac.nz
Master of Gastronomy Postgraduate Diploma in Gastronomy Postgraduate Certificate in Gastronomy	Christine Hall, ext. 8477 Email: christine.hall@aut.ac.nz

School of Language and Culture	
Programme	Programme Leader
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School of Social Sciences and Public Policy	
Programme	Programme Leader
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School of Art and Design	
Programme	Programme Leader
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Master of Art and Design Master of Arts Management Master of Design Master of Performance and Media Arts Postgraduate Diploma in Art and Design Postgraduate Diploma in Performance and Media Arts Bachelor of Art and Design (Honours)	Postgraduate Coordinator Dr Robyn Ramage, ext. 8090 Email: robyn.ramage@aut.ac.nz
School of Communication Studies	
Programme	
Doctor of Philosophy Master of Philosophy Master of Communication Studies Postgraduate Diploma in Communication Studies Bachelor of Communication Studies (Honours)	Head of Postgraduate Studies Associate Professor Vijay Deyadas, ext. 6075 Email: vijay.devasdas@aut.ac.nz Programme Administrator Jessie Hsu, ext. 6283 Email: jessie.hsu@aut.ac.nz
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Doctor of Philosophy Master of Philosophy	Head of Postgraduate Studies Dr Quan Bai, ext. 8435 Email: quan.bai@aut.ac.nz Programme Administrator Karishma Bhat, ext. 9895 Email: karishma.bhat@aut.ac.nz
Master of Analytics Master of Science Postgraduate Diploma in Science Postgraduate Certificate in Science Bachelor of Science (Honours)	Postgraduate Programme Leader Dr Alna Van Der Merwe, ext. 5403 Email: alna.vandermerwe@aut.ac.nz Programme Administrator Sharda Mujoo, ext. 5123 Email: sharda.mujoo@aut.ac.nz

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Master of Information Security and Digital Forensics	Programme Leader Dr Alastair Nisbet, ext. 5879 Email: alastair.nisbet@aut.ac.nz Academic Administrator Sharda Mujoo, ext. 5123 Email: sharda.mujoo@aut.ac.nz
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Programme	
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WA Building, AUT City Campus MC Building, AUT South Campus AL Building, AUT North Campus	Library Research Support Coordinator Ann Chen, ext. 8573 Email: achen@aut.ac.nz
Student Hub	Web: www.aut.ac.nz/studentcentre
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: www.aut.ac.nz/accommodation
Wellesley Student Apartments	Phone: 0800 288 972 (0800 AUT WSA)
Akoranga Student Village	Phone: 0800 288 278 (0800 AUT ASV)
AUT Chinese Centre	Web: www.aut.ac.nz/chinese_centre
WB406, WB Building, City Campus	Phone: 921 9999, ext. 8397 & 6503 Email: chinese.centre@aut.ac.nz

Health, Counselling and Wellbeing	Web: www.aut.ac.nz/health
WB219, WB Building, City Campus	Phone: 921 9992
AS104, AS Building, North Campus	Phone: 921 9998
MB109, MB Building, South Campus	Phone: 921 9992
Student Learning (Puna Aranui)	Web: www.aut.ac.nz/student-learning Email: slc@aut.ac.nz
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AS206, AS Building, North Campus	Phone: 921 9083
MA106, South Campus	Phone: 921 9073
LGBTI Student Support	Web: www.aut.ac.nz/lgbt Phone: 921 9999 ext. 6998 Email: audrey.hutcheson@aut.ac.nz
Māori Liaison Services – Te Tari Takawaenga	Web: www.aut.ac.nz/student_services/ maori
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: www.aut.ac.nz/community/sport- at-aut Email: sport@aut.ac.nz
WB102, WB Building, City Campus	Phone: 921 9736
Employability and Careers	Web: www.aut.ac.nz/employability Email: employability@aut.ac.nz
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
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	MAnalytics
AK1055	Master of Applied Finance	MAF
AK3483	Master of Art and Design	MA&D
AK3689	Master of Arts	MA
AK1300	Master of Arts Management	MArtsMgmt
AK1060	Master of Business	MBus
AK3717	Master of Business Administration	MBA
AK1278	Master of Career Development	MCD
AK3482	Master of Communication Studies	MCS
AK3688	Master of Computer and Information Sciences	MCIS
AK1290	Master of Construction Management	MCM
AK1307	Master of Creative Technologies	MCT
AK1303	Master of Creative Writing	MCW
AK1248	Master of Design	MDes
AK3649	Master of Education	Med
AK1280	Master of Educational Leadership	MEdL
AK1016	Master of Emergency Management	MEmMgt
AK1308	Master of Engineering	ME
AK1317	Master of Engineering Project Management	MEPM
AK3732	Master of Engineering Studies	MEngSt
AK1310	Master of Forensic Information Technology	MFIT
AK3820	Master of Geographic Information Science	MGIS
AK1065	Master of Global Business	MGBus

Code	Qualification Title	Abbreviation
AK1319	Master of Health Informatics	MHI
AK3733	Master of Health Practice	MHPrac
AK3485	Master of Health Science	MHSc
AK1023	Master of Human Rights	MHumRights
AK3705	Master of International Hospitality Management	MIHM
AK1282	Master of International Tourism Management	MITM
AK1044	Master of Laws	LLM
AK1045	Master of Marketing	MMktg
AK1028	Master of Medical Laboratory Science	MMLS
AK1314	Master of Performance and Media Arts	MPMA
AK3720	Master of Philosophy	MPhil
AK3611	Master of Professional Accounting	MPA
AK3734	Master of Professional Business Studies	MProfBusSt
AK1287	Master of Professional Language Studies	MPLS
AK3920	Master of Psychotherapy	MPsychotherapy
AK3805	Master of Public Health	MPH
AK1037	Master of Science	MSc
AK1318	Master of Service-Oriented Computing	MSOC
AK3910	Master of Sport and Exercise	MSpEx
AK3670	Bachelor of Art and Design (Honours)	BArtDes(Hons)
AK3696	Bachelor of Arts (Honours)	BA(Hons)
AK3712	Bachelor of Business (Honours)	BBus(Hons)
AK1261	Bachelor of Communication Studies (Honours)	BCS(Hons)
AK3687	Bachelor of Computer and Information Sciences (Honours)	BCIS(Hons)
AK1306	Bachelor of Creative Technologies (Honours)	BCT(Hons)
AK3751	Bachelor of Engineering (Honours)	BE(Hons)
AK3662	Bachelor of Health Science (Honours)	BHSc(Hons)
AK1009	Bachelor of Laws (Honours)	LLB(Hons)
AK1312	Bachelor of Mathematical Sciences (Honours)	BMathSc(Hons)
AK1040	Bachelor of Science (Honours)	BSc(Hons)

Code	Qualification Title	Abbreviation
AK1056	Postgraduate Diploma in Applied Finance	PgDipAF
AK1298	Postgraduate Diploma in Art and Design	PgDipA&D
AK3740	Postgraduate Diploma in Arts	PgDipArts
AK3741	Postgraduate Diploma in Business	PgDipBus
AK1019	Postgraduate Diploma in Business Administration	PgDipBA
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
AK1313	Postgraduate Diploma in Performance and Media Arts	PgDipPMA
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
AK3746	Postgraduate Certificate in Computer and Information Sciences	PgCertCIS
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, www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/postgraduate-forms*

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 the Master of Philosophy 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 PGR15	Deposit of Thesis/Exegesis/Dissertation in the Auckland University of Technology Library.
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 PGR19	Change of Faculty. Notification of change of faculty for doctoral students only.
Form PGR22	Appointment of External Supervisors. Notification of the appointment of an external supervisor to AUT.
Form PGR23	Primary Supervisors Report. The primary supervisors report is only be submitted with a doctoral examination where special circumstances exist.
Form PGR25	Off Campus Registration Agreement form.

INDEX

A

- Academic Board (ACBD) 7
- Academic Integrity 84
- Academic Staff Preparation and Ongoing Competency as a Supervisor 50
- Admission and Enrolment 25
 - Admission and Enrolment – Doctoral 43
 - Doctoral Degrees 26
 - Programme Information and Entry Criteria 26
- Admission to Doctoral Degrees 43
 - Applying for Admission 43
 - Provisional Admission 44
 - Provisional Admission (with conditions) 44
 - Transitional Studies 44
- Admission and Enrolment to Master’s and Bachelor with Honours 45
 - Master’s Degrees 30
 - Bachelor’s Degrees with Honours 34
 - Postgraduate Diploma and Certificate Qualifications 34
 - Programme Information and Entry Criteria 34, 35
 - Applying for Admission to the Master of Philosophy 45
 - Approval Process for the Research Component of a Degree 45
 - Approval for 240 and 180 master’s degrees with a thesis/dissertation component 46
 - Approval for Bachelor with Honours degrees 46
 - Conditional Admission 46
 - Preparation Paper for Doctoral and Master of Philosophy Research Proposal 38
 - Transfer from an AUT Master’s Research Degree to the AUT PhD 39
 - Transfer from an External Master’s Degree 40
 - Transfer of Doctoral Candidature from another Institution 40
 - Transfer of Master’s Research from Another Institution 41
- Amendments 116, 117, 119, 121, 123, 124, 127, 138, 139, 141, 146, 173
- Animal Ethics 86
- Appeals 90
- Application Requirements 36
- Application for Enrolment (AFE) 36, 37
- Application to Receive Qualifications 153
- Applying for Admission 43
- Applying for Admission to the Master of Philosophy 45
- Appointment of Examiners 110, 129
- Appointment of Examiners – Creative Works 124
- Appointment of Supervisors 78
- Approval Process for the Research Component of a Degree 45
- Attestation of Authorship 105, 115, 113
- Auckland University of Technology Ethics Committee (AUTEC) 10
- AUT Ventures Ltd 20
- Award of Honours and Distinction 147

B

- Bachelor's Degrees with Honours 34, 46
- Binding Specifications 139
- Board
 - Academic Board (ACBD) 7
 - Boards of Studies 9
 - Examination Board 9
 - Faculty Boards 9
 - University Postgraduate Board (UPB) 7
- Business Cards 71

C

- Change of Faculty (doctoral students only) 77
- Change of Supervisors 78
- Code of Practice for Supervisors 54
- Complaints Procedure 89
- Completing the Progress Reports 72
- Computing Resources 19
- Conditional Admission 46
- Confidential Material 80, 107
- Confirmation of Candidature (Doctoral) 80
 - Data Collection 72
- Conflict of Interest 81
- Contractual Arrangements 84
- Convenor 112
- Copies for Examination 114
- Copyright 108
- Council Approval 153
- Cover/Title Page Specifications 151

D

- Data Collection 72
- Data Gathering, Storage and Retention 81
- Declaration of Suitability for Examination 114, 132
- Deferment of Enrolment 74
- Deposit of
 - Doctoral Thesis/Dissertation/Exegesis 150
 - Masters Thesis/Dissertation/Exegesis 151
 - Masters Research Project/Practice Project 151
 - Bachelor's Degree with Honours 151
- Dissertation Length 99
- Dissertations 98
- Distinction and Merit 149
- Doctoral Degrees 26
- Doctoral Degrees – Supervision 51
- Doctoral Examinations 109
 - Amendment Submission 121

- Appointment of Examiners 110
- Attestation of Authorship 111
- Confidential Material and Embargo Process 113
- Convenor 113
- Declaration of Suitability for Examination 114
- Dispatch 115
- Doctoral Examiners' Reports 116
- Examination of Practice-Led
 - Doctoral 124
 - Master's and Bachelor with Honours 141
- Examiners' Recommendations
 - Doctoral 116
 - Master's and Bachelor with Honours 138
- Oral Examination 117
- Oral Examination Process 117
- Payment of Honoraria 112
- Pre-meeting for Oral Examination 117
 - Pre-meeting for Creative Works 126
- Primary Supervisor's Report 117
- Recommendation for the Award of the Degree 121
- Release of Information 121
- Submission for Examination 114
- Submission Against Supervisor Advice 114
- Turnitin 115
- Doctoral Graduates' Academic Dress Hire 153
- Doctoral Research Supervision Agreement 59
- Doctoral Student Extensions 74
- Doctor of Education Graduate Profile 28
- Doctor of Health Science Graduate Profile 28
- Doctor of Philosophy Graduate Profile 27

E

- Embargo 107, 113, 131, 150, 173
- Employability and Careers 20
- English Language Requirements 36
- Enrolment 47
- Entry Criteria
 - Doctoral 29
 - Masters 31
 - Postgraduate Diploma and Postgraduate Certificate 34
 - Bachelor with Honours 35
- Ethics 10
 - Auckland University of Technology Ethics Committee (AUTEC) 10
 - Animal Ethics 86
 - Ethics Approval for Research 86
 - Ethics Responsibilities of Supervisors and Students 86
- Ethics Responsibilities of Supervisors and Students 86
- Examination Board 9

Examination of Practice-led Research 124, 141
Examinations
 Doctoral Examinations 109
 Master's and Bachelor with Honours Examinations 128
Examination Mentor 131
Examination Timeframe 109, 128
Examiners' Recommendations 116, 121, 126, 138
Examiners' Reports 116, 134, 139, 145
Extensions 74
External Supervisors 51

F

Faculty Boards 9
Formatting and Presentation 100
Funding for Research 19

G

General Responsibilities of Supervisors 54
Grade Point Average 147
Grading Criteria 134
Graduate Profiles 27
 Doctor of Education 28
 Doctor of Health Science 28
 Doctor of Philosophy 27
 Master of Philosophy 32
Graduate Research School (GRS) 12
Graduation
 Application to Receive Qualifications 153
 Council Approval 153
 Doctoral Graduands' Academic Dress Hire 153
Grievances/Complaints in Respect of Thesis/Dissertation 88
Guidelines for presenting in Te Reo Māori 96

H

Hardbound and Additional Copies 151
Honours 147

I

Induction Programme for Doctoral Students 21
Intellectual Property 83
International Student Support 42

L

Leading Researcher 38
Leave of Absence 76
Lodgement Copies for Examination 114

M

Major Change to Thesis/Dissertation Topic 78
Master of Philosophy Degree 32
Master of Philosophy Graduate Profile 32
Master's and Bachelor with Honour's Examinations 128
 Appointment of Examiners 129
 Amendment Submission 141
 Award of Honours and Distinction 147
 Distinction and Merit 149
 Honours 147
 Confidential Material and Embargo Process 131
 Dispatch 133
 Examination of Practice-Led Research 141
 Examination Timeframe 128
 Examiners' Recommendations 138
 Examiners' Reports 134
 Grading Criteria 134
 Outcomes 139
 Processing of Examiners' Reports 139
 Release of Examiners' Reports 145
 Release of Information 145
 Reserve Examiner 131
 Revise and Resubmit Process 145
 Submission for Examination 132
 Turnitin 133
Master's and Bachelor with Honours Student Extensions 75
Master's Degrees 30
Mentor (Examination) 131
Mentor (Supervision) 52
Mode of Study (Not Applicable to Doctoral Students) 74

O

Off-Campus Registration 41
Offer of Place 46
Oral Examination Process 117
Orientation 21
Outcomes 118, 139

P

- Pathways 101
 - Pathway One: 102
 - Pathway Two: 102
 - Pathway Three: 103
- Payment of Honoraria 112, 130
- Plagiarism 85
- Post-Examination Deposit of Theses/Dissertation/Exegeses 150
 - Bachelor's Degree with Honours 151
 - Deposit Forms 150
 - Doctoral Theses/Exegeses 150
 - Hard Bound and Additional Copies 151
 - Master's Theses/Exegeses 151
 - Master's Research Projects/Practice Projects 151
- Postgraduate Diploma and Certificate Qualifications 34
- Postgraduate Supervision Agreement for Master's and Bachelor's Degrees with Honours 62
- Pre-meeting for Creative Works 126
- Pre-meeting for Oral Examination 117
- Preparation Paper for Doctoral and Master of Philosophy Research Proposal 38
- Primary Supervisor's Report 117
- Professional Doctorates 28
- Programme Information and Entry Criteria 26
- Progress Reports 72
- Provisional Admission 44
- Provisional Admission (with conditions) 44
- Publication and Authorship 82

R

- Release of Examiners' Reports 145
- Release of Information 121, 145
- Research Ethics 86
- Research and Innovation Office (RIO) 20
- Research Description 96
- Research Outputs 96
- Research Supervision 50
- Research Supervision Agreement 59
- Research Timeframes 68
- Reserve Examiner 112
- Resolution of Problems 88
 - Appeals 90
 - Grievances/Complaints in Respect of Thesis/Dissertation 88
- Resources 15
 - Computing Resources 19
 - University Library 17

Revise and Resubmit 112, 145

S

Scholarships Office 19

Specific Learning Difficulties 92

Staff Development for Supervisors 51

Student Accommodation 21

Student Counselling and Mental Health 22

Student Hub 20

Employability and Careers 20

Orientation 21

Student Accommodation 21

Student Counselling and Mental Health 22

Student Hub 20

Student Medical Centre 21

Student Services 20

The Chinese Centre 21

Student Medical Centre 21

Student Responsibilities 57

Student Services 20

Submission Against Supervisor Advice 114, 132

Supervision 50

Academic Staff Preparation and Ongoing Competency as a Supervisor 50

Agreement 59, 62

Code of Practice for Supervisors

General Responsibilities of Supervisors 54

Student Responsibilities 57

External Supervisors 51

Research Supervision Agreement 59

Doctoral Research Supervision Agreement 59

Master's and Bachelor's Supervision Agreement 62

Staff Development for Supervisors 51

Supervisor Register 53

Supervisory Eligibility 50

Doctoral Degrees 51

Master's Degrees (including Bachelor's with Honours) 51

Supervisory Mentors 52

Supervision Agreement 59, 62

Supervisor Register 53

Supervisory Eligibility 50

Supervisory Mentors 52

Support and Resources 12

T

The Chinese Centre 21

Theses 97

Theses and Dissertations 96

Theses in Te Reo Māori 96

Theses with Practice-Led Component 98
Thesis/Dissertation/Exegesis Layout 104
Thesis/Dissertation/Exegesis Structure 101
Thesis/Exegesis Layout 104
Thesis Length 97
Transfer from an AUT Master's Research Degree to the AUT PhD 39
Transfer from an External Master's Degree 40
Transfer of Doctoral Candidature from another Institution 40
Transfer of Master's Research from Another Institution 41
Transitional Studies 44
Turnitin 13, 85, 115, 133

U

University Postgraduate Board (UPB) 7
Unsatisfactory Progress 78

V

Variations to Candidature 73
 Doctoral Student Extensions 74
 Master's and Bachelor with Honours Student Extensions 75
Vulnerable Children's Act (2014) 43, 68

W

Withdrawal 77

