
The Auckland University of Technology

Postgraduate Handbook 2012

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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.

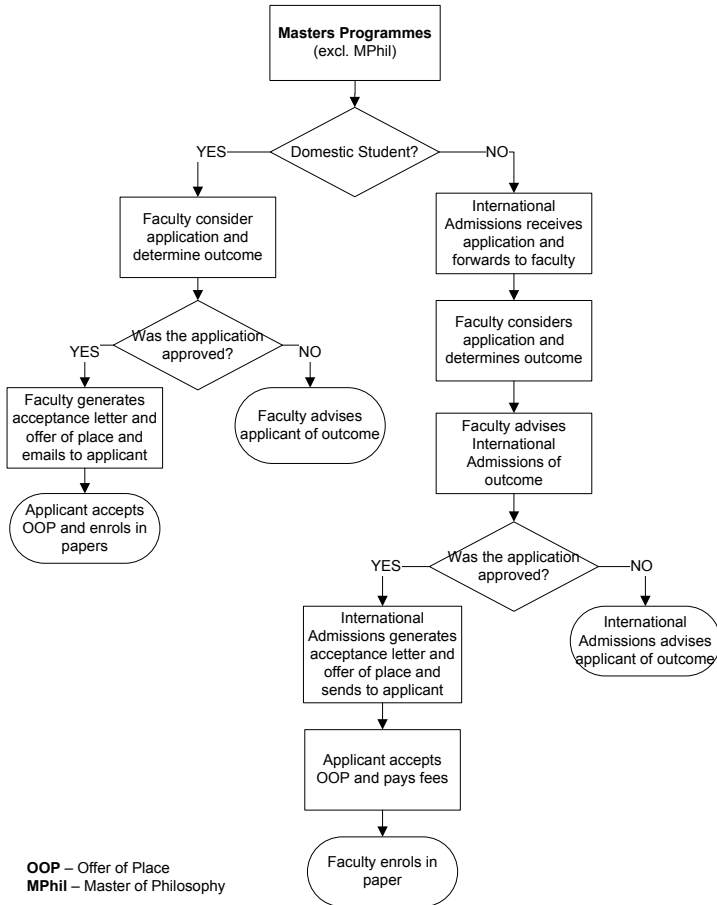
The handbook should be used in conjunction with the AUT Academic Calendar, particularly the General Academic Statute, General Academic Regulations, Standard Qualification Regulations and individual programme regulations.

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

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General Information.....	5
Academic Dates for 2012	6
Programme Information and Entry Criteria.....	7
Application Requirements.....	14
Transfer Requirements	17
Off-campus Registration	20
Resources.....	21
Monitoring and Evaluation	30
Resolution of Problems.....	32
Doctoral Section	37
Admission and Enrolment.....	38
Progression through the Degree.....	42
Examination Processes	47
Other Postgraduate	57
Admission and Enrolment.....	58
Progression through Research Components.....	60
Research Examination Processes.....	65
Award of Honours and Distinction.....	75
Research Section	77
Research Supervision.....	78
Research Ethics.....	86
Research at AUT.....	89
Research Outputs.....	94
Formatting and Presentation	98
Post-examination Binding and Deposit of Theses, Dissertations and Exegeses	107
Graduation	110
Contact Numbers and Locations	111
Appendix A: Programme Regulations.....	122
Appendix B: Forms	131
Appendix C: Supervision Agreements	134
Appendix D: Ethical Principles.....	141
Appendix E: English Language Criteria.....	145
Appendix F: Boards and Committees.....	147
Appendix G: Qualification Listing.....	151
Appendix H: Cover/Title Page Specifications	153
Appendix I: Letter seeking permission from publishers/third party copyright material	156

Master's Admission Process



NOTE: Diagram is based on the assumption that the applicant meets the normal entry criteria for the programme they are applying for and an Application for Enrolment (AFE) or International Application for Enrolment (IAFE) has been submitted to Registry Services.

Fees must be paid before a student ID card is generated and access to university resources is granted.

ACADEMIC DATES FOR 2012

January

4 - 27 February.....Summer Semester
4.....Student Centres open
30.....Auckland Anniversary Day

February

6.....Waitangi Day
17 - 24.....Semester 1 Orientation
27.....Semester 1 commences

April

9 - 20.....Mid-Semester break
6.....Easter Friday
9.....Easter Monday
10.....University Holiday (Easter)
23.....Semester 1 resumes
25.....Anzac Day

June

4.....Queen's Birthday
22.....Semester 1 ends
25 June - 13 July.....Inter-Semester break

July

11 - 14.....Semester 2 Orientation
16.....Semester 2 commences
26 - 27.....Graduation*

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

December

12 - 14.....Graduation
17 - 4 January 2013.....Summer Semester break
22.....University Offices, Student Centres,
.....Campus Receptions close (end of day until 3
.....January 2013)

**AUT reserves the right to amend dates as required. Graduation dates had not been confirmed at the time of printing.*

PROGRAMME INFORMATION AND ENTRY CRITERIA

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 and should be consulted if clarification is required.

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.

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.

The normal admission requirement to a doctoral degree is one of the following:

- a master's degree with honours; *or*
- a bachelor's degree with honours (equivalent to four years' study) in a discipline which is appropriate for 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 Doctor of Philosophy must also have included advanced learning in research, the execution of a research project and the writing of a report on that research;
 - Applicants to a professional doctorate must provide evidence of having a minimum of five years' professional experience in their specific area of study.

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

Master's Degrees

Research Master's - Level and Characteristics

Research master's degrees are awarded at postgraduate level and require a minimum of 120 or 240 points at Level 9. Master's degrees of 120 points include, for full-time students, a one year thesis component (two years for part-time). Master's degrees of 240 points normally include, for full-time students, one year of coursework and a one year thesis component (four years for part-time), or an appropriate combination of coursework and a dissertation.

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

- demand 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, 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 supervised research;
 - require excellent communication skills for creating, synthesising, evaluating and persuading;
 - expect a tangible output that pushes the boundaries of knowledge in a discipline or field of study.

Specific admission regulations and requirements can be found in the AUT Academic Calendar. The criteria below are a guideline only.

Entry Criteria for the Master of Philosophy Degree

Applicants for admission to the Master of Philosophy degree must comply with the Programme Regulations for the Master of Philosophy which must be read in conjunction with the Standard Qualification Regulations for Master's Degrees and General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to the Master of Philosophy, 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 four-year bachelor's degree at Level 8;
- a bachelor's (honours) degree with at least second class honours;
- a three-year bachelor's degree plus a postgraduate diploma; or
- a bachelor's degree, plus at least three years' experience relevant to the programme and evidence of ability to undertake advanced academic study; or
- evidence of professional experience or a recognised professional qualification deemed by the programme board of studies to be equivalent to the level of competence specified above.

Where an applicant is seeking admission with one of the above qualifications, that qualification must normally have been gained at the standard of first or second class (first division) honours with a B grade average or higher from a New Zealand institution or equivalent.

Entry Criteria for a Master's Degree of 120 points

Applicants for admission to a 120 point master's degree must comply with the individual programme regulations which must be read in conjunction with the Standard Qualification Regulations for Master's Degrees and General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to a 120 point master's degree (excluding the Master of Philosophy), 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 three-year bachelor's degree and one year of advanced study;
- A four-year bachelor's degree.

Entry Criteria for a Master's Degree of 240 points

Applicants for admission to a 240 point master's degree must comply with the Standard Qualification Regulations for Master's Degrees which must be read in conjunction with the General Academic Regulations of the AUT Academic Calendar.

In order to be admitted to a 240 point master's degree, 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 or higher qualification;
- a graduate diploma;
- 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.

An applicant is normally expected to have completed the admission qualification to a merit standard as specified in the programme regulations.

Coursework Master's - Level and Characteristics

Coursework master's degrees are awarded at postgraduate level and require a minimum of between 120 and 180 points at Level 9. There is normally no thesis/dissertation component in a coursework master's degree. Specific requirements are detailed in the programme regulations available in the AUT Academic Calendar.¹

Entry Criteria for a Coursework Master's Degree

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

In order to be admitted to a coursework master's degree, an applicant shall normally have completed one of the following in a relevant field from a New Zealand tertiary institution or equivalent:

- a three-year bachelor's degree and one year of advanced study in a relevant field;
- a four year bachelor's degree in a relevant field.

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.¹

¹<http://www.aut.ac.nz/about-aut/university-publications>

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.

Please refer to the AUT Academic Calendar, Standard Qualification Regulations for information on the admission requirements for a four-year bachelor's degree with honours.

For further information regarding these programmes, please refer to the specific programme regulations in "Appendix A: Programme Regulations" on page 122.

Attendance Requirements

The University has to be satisfied that:

- the student will have sufficient appropriate 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.

Timeframes

These are the normal timeframes for a qualification and should be read in conjunction with the individual programme regulations.

Timeframes	Normal	Minimum	Maximum
Doctoral			
Full-time	48 months	24 months	72 months
Part-time	72 months	48 months	72 months
240 point Master's			
Full-time	24 months	12 months	24 months
Part-time	48 months	24 months	60 months
180 point Master's			
Full-time	18 months	18 months	18 months
Part-time	36 months	24 months	48 months
120 point Master's (including Master of Philosophy)			
Full-time	12 months	12 months	12 months
Part-time	24 months	24 months	36 months
Postgraduate Diplomas			
Full-time	12 months	12 months	24 months
Part-time	24 months	18 months	36 months
Postgraduate Certificates			
Full-time	6 months	6 months	12 months
Part-time	12 months	12 months	24 months
One-year Bachelor's Degrees with Honours			
Full-time	12 months	12 months	24 months
Part-time	24 months	24 months	24 months

- The maximum timeframes specified are not automatically granted and students who require longer than the **normal timeframes** must apply for an extension.
- Where a student is transferring from another qualification and is entering directly into the thesis component of a research master's degree, a decision on the time limits for completion will be determined by the faculty post-graduate committee on a case-by-case basis.

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.

Domestic Applicants

Applicants who are New Zealand citizens or permanent residents wishing to undertake postgraduate study must complete an Application for Enrolment Form (AFE) or 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 form and this has been received by Registry Services, you will be sent a letter acknowledging your application. You will be contacted by Registry Services if further information is required.

International Applicants

International applicants need to complete an International Student Application for Enrolment form available online, or from the International Student Centre.

www.aut.ac.nz/study-at-aut/apply-to-aut/international-students/postgraduate-programmes

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 in “Appendix E: English Language Criteria” on page 145;
- evidence of a comparable pass in an equivalent language test gained within the last two years or other recognised English proficiency equivalency.

IELTS Exemption

Applicants whose qualifying undergraduate or postgraduate degree studies were conducted in English may be exempted from the IELTS requirements on submission of documentary evidence that English was the language of instruction in that degree.

International Applicants to the Doctor of Philosophy Programme

At the time of going to print, under existing legislation, all international PhD candidates

will be treated as if they are residents and only pay domestic fees if they are:

- enrolled in a PhD programme at an NZ University;
- supervised by a leading researcher;
- resident in NZ for the duration of their study.

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

Candidates 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 Contacts 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).

www.aut.ac.nz/study-at-aut/apply-to-aut/international-students/postgraduate-programmes

Leading Researcher

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

- considerable supervisory experience, including having supervised a PhD to successful completion;
- a recognised doctoral qualification;
- 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 Processes²

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, 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:

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

-
- 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.

Offer of Place

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

You can accept an Offer of Place online³ at <http://arion.aut.ac.nz>.

If you cannot accept your offer on-line; (including International Applicants); 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 Conditional 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.

When the Offer of Place has been received, the Faculty enrolls the applicant in the appropriate paper(s). This will generate a fees invoice which will be posted to you. When the fees are paid in full, 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.

Summary of Application Requirements

For additional information on preparing the research proposal, please refer to page 38 for doctoral degrees and page 59 for master's degrees and bachelor's degrees with honours.

Additional information that may be required:

- Current Curriculum Vitae;
- Evidence of professional experience;
- IELTS for applicants whose first language is not English or Māori;
- Any individual Faculty requirements (these may vary across the University);
- Proof of academic qualifications (unless already provided for a previous enrolment at AUT).

³ This option is not available for International applicants

TRANSFER REQUIREMENTS

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.

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.

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

Note: It will be the responsibility of the Faculty to recommend an applicant's admission status (Provisional or Confirmed) when transferring to the PhD from another programme.

In exceptional circumstances, a student enrolled in an AUT research master's degree who has completed the coursework component of that degree and has commenced the thesis component, may apply to the University Postgraduate Board (Form D1 and an academic transcript) for consideration for admission to the Doctor of Philosophy programme. In some circumstances a student may apply for confirmed status by submitting a D9 application. This should first be discussed with the primary supervisor and Associate Dean (Postgraduate).

Form D1 - Provisional Admission to the PhD Programme

Form D9 - Doctoral Research Proposal

The application for transfer must demonstrate that a candidate'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.

Candidate Performance

A candidate 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.

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 thesis to progress to a larger body of work, such as a doctoral thesis and include a thesis draft or other form of research (for example, performance or film);
- 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.

Transfer of Doctoral Candidature from another Institution to AUT

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

- Completed Form **D16**;
- Completed Form **D3** (The faculty must complete this form);
- Copy of the equivalent to the AUT **D1** or **D9**. Please see below to determine which is required;
- Progress reports and additional information may also be requested.

Form **D3** - Recommendation for Admission
Form **D16** - Transfer of PhD Candidature

If the applicant is transferring as a Provisional Admission, a copy of the current Institution's equivalent to the AUT **D1** will be required.

Form **D1** - Provisional Admission to the PhD Programme

If the applicant is transferring as a Confirmed Admission, a copy of the current Institution's equivalent to the **D9** will be required.

Form **D9** - Confirmation of Candidature

Notification

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

Any conditions of admission will be identified in the letter.

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

OFF-CAMPUS REGISTRATION

All research students will normally be required to conduct their study on one of the AUT campuses. However, in some circumstances a student may apply to study off-campus.

Students wishing to conduct the research component of a degree off-campus for longer than three months will need to complete a mandatory supervision agreement detailing how the supervision will take place and, for periods of one year or greater, demonstrate that funding is available for face-to-face meetings at least twice per year.

Candidates wishing to apply for off-campus registration need to discuss with their supervisors and faculty postgraduate office and submit a request in writing to the University Postgraduate Board.

Permanent residents and International students will need to be aware that depending on the length of time they intend to spend overseas they may cease to be eligible for domestic tuition fees.

Doctoral candidates are required to be present in New Zealand for their D9 presentation and the oral examination.

RESOURCES

Physical Resources

The University provides a number of study resources for postgraduate students. Faculties will provide individual study space as required for research students. Open access computer pods are available across the University. Laboratory space and specialised equipment for experimental research are made available in individual faculties as appropriate.

Equipment available to support research varies, as appropriate, from faculty to faculty. Intending research students should consult with individual faculties and proposed supervisors prior to finalising a research topic and proposal. Research may be conducted outside the University, under agreement by the governing body for the particular programme. Negotiation with outside organisations for access to equipment and facilities is also possible. Where an undergraduate programme utilises specialised equipment, laboratories or facilities, these generally are also available to research students.

Where small scale items of equipment need to be purchased for a particular research project, these will generally be purchased by the faculty. Requirements for larger items should be discussed with the primary supervisor and programme leader. All students will need to identify resource implications as part of the research proposal, with the budget being approved by the Head of School or Head of Department before submission to the appropriate committee.

Postgraduate Study Rooms

Postgraduate Study Rooms are located on the City (WA508) and North Shore (AL210) campuses. 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 is available.

These Study Rooms have access 24/7 by means of swipe cards and are monitored afterhours and on weekends by Security. Postgraduate students should contact their campus Security Office to obtain a swipe card to the room.

The University Postgraduate Centre is responsible for maintaining the facilities for the City Campus Postgraduate Study Room. The AUT Library maintains the North Shore Campus Postgraduate Study Room.

NB: The Postgraduate Study rooms on both campuses are not intended for group study. If you need to work with student peers on a group project you will need to book one of the Group Study Rooms located in the AUT library.

Postgraduate Study Room (Manukau Campus)

With the University having recently opened the Manukau Campus, it is anticipated that a postgraduate study room facility will be available from 2011.

For further information regarding the Postgraduate Study Rooms contact the University Postgraduate Centre.

Note: To gain access to faculty postgraduate resources, please contact the faculty postgraduate administrator.

Library Resources

The Library is located on three campus sites:

- City Campus, (Learning Centre - WA Building);
- Manukau Campus, (MC Building);
- North Shore Campus, (Learning Centre - AL Building).

Students gain access to Library facilities on presentation of their student ID card. Postgraduate students may borrow up to 50 items (books and printed journals) at a time. Books are subject to recall at any time. Details of the loan policy are available on the Library website. Internet accounts are necessary to take full advantage of electronic resources.

Library Homepage

The Library homepage is the access point for:

- the online catalogue which lists items held by the Library network and their locations;
- electronic resources purchased or subscribed to by the Library;
- general Library information, for example, Library policies and opening hours.

www.aut.ac.nz/library/

Information Resources

The Library holds materials in various formats relevant to courses taught within the University. These include primary and secondary information resources, for example, indexes, bibliographies and statistical data as well as books and journals. Information is accessible in a variety of formats: print, electronic, CD-ROM and microfilm.

Information Services

Liaison Librarians provide subject-specialised assistance in using Library resources. Ask for help at the Library Help Desk or contact the Research & Postgraduate Coordinator, phone (09) 921 9999 ext. 8519. You may be required to make an

appointment for in-depth database assistance. Library workshops specifically for postgraduate students are offered in the Postgraduate Seminar Series.

Document Delivery and Distance Services

- **Inter Campus Delivery:** Upon request, items may be transferred between the two campus libraries via the University courier system. You may make such a request online through the Library catalogue using your computer login and password. Note: books from the Manukau Campus Library collection are not available for transfer to the City or North Shore Campus Libraries.
- **Interloan:** Items not available within the AUT University Library network may be borrowed on your behalf from another library or purchased from a document supplier. This service is free of charge to postgraduate students, though faculty limits may apply. Requests can be submitted online.
- **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.aut.ac.nz/library/library_services/distance_study/

Computing Resources

Email and Internet access is available to all students. Students should refer to the information on Student Internet Registration from the AUT Website.

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.

Internet Login

Your Internet login name is the same as the standard computer login name that you use when you login to AUT's computer network. Your login name is printed on your Student ID card.

You will find out your Internet password when you complete your Student Internet Registration.

The standard AUT email address format for students is loginname@aut.ac.nz, for example, <kirwil35@aut.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, call them on ext. 9953 or email: ithelp@aut.ac.nz.

Funding for Research

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

- AUT Scholarships
- Faculty scholarships;
- reimbursement for research expenses;
- external funding, including funding from professional associations, or discipline-specific funding bodies;
- Universities NZ Committee Scholarships.

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

University Research Office

The University Research Office (URO) 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 Enterprises Ltd

AUT Enterprises Ltd (AUTEL) is responsible for the identification and commercialisation of intellectual property (IP) owned by the University. This includes assisting supervisors on IP issues arising from independent research. Research staff and students seeking assistance on IP matters or wishing to disclose IP should contact AUTEL and the URO. If this contact is associated with a commercial research contract URO will handle the research contract. AUTEL will handle matters related to IP protection, share of financial benefit agreements and downstream commercialisation activity. AUTEL and the URO work closely together, and also with the Business Innovation Centre and AUT's Office for Governance and Legal Support to provide a comprehensive range of support services.

University Postgraduate Centre

The University Postgraduate Centre has overall responsibility for maintaining the formal University record of each student's path through a research qualification. The Centre provides administrative support for the University Postgraduate Board, as well as liaising with faculty postgraduate offices. It is also responsible for the administration of the thesis examination process.

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

PGMe Website

PGMe is an online multimedia resource which acts as an information tool, guide and support for staff and postgraduate students (both prospective and current) engaged in research at AUT. PGMe is accessible through “My Organisations” on AUT-Online as PGMe.

<https://autonline.aut.ac.nz/webapps/portal>

If you are not a current student and do not have a log in you can use the following guest account to access this resource.

Username: autpgresearch

Password: autpg

Postgraduate Network

This is an email network which is updated by the University Postgraduate Centre 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 eligible to participate in the network. Students who do not wish to receive communications through the Network can unsubscribe at any time.

Networking for Doctoral Candidates and Master of Philosophy Students

An orientation tour for doctoral candidates and Master of Philosophy students is offered regularly through the Centre. Individual tours of University facilities can be arranged (if the pre-arranged dates do not suit new candidates). In addition, the Centre coordinates several opportunities for doctoral candidates to network with others from across the University.

Events for Postgraduate Students

Throughout the year, the University Postgraduate Centre 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 candidates. Supervisors and other staff involved in postgraduate programmes and processes are also encouraged to attend these activities. These activities compliment those provided by the faculties.

The Centre also hosts the University Postgraduate Symposium each year. Information regarding this event 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 University Postgraduate Centre. 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:

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

Student Services

Student Services provide a wide range of support and advisory services to help postgraduate students succeed at AUT.

Student Information Centre

The Student Information Centre provides comprehensive information on tuition fees, fees invoices, student ID cards, academic records, general enrolment, activities and events and Student Services information.

www.aut.ac.nz/studentinfo

Student advisors

Many students struggle with a number of issues while studying. This can be particularly true of postgraduate study.

Student advisors are dedicated to offering individualised assistance to help postgraduate students in identifying where they need to go for help with their concerns, making connections with support services, and following up to see how it's all going.

There are two student advisors that have completed postgraduate level study in psychology, and understand the unique challenges faced during postgraduate level study.

www.aut.ac.nz/student_services/advisors

Postgraduate learning support: Te Tari Āwhina

Studying at postgraduate level is an enormous challenge and the task of writing a dissertation or thesis can be an unprecedented experience.

In addition to the academic support you receive from your supervisor and faculty staff, Te Tari Āwhina supports all postgraduate students in thesis writing and other aspects of postgraduate study through individual tuition, writing workshops, seminars and study resources.

www.tetariawhina.info

University Career Services

Need some help in writing your CV for that application for research, teaching positions or fellowships? Need assistance in identifying the kind of work you want to pursue during or after your study here at AUT?

University Career Services helps students to clarify their career path and find employment. Professionally-trained and qualified career consultants will assist you in identifying a career direction, determining an educational pathway, making the most of your educational programme, preparing for the world of work and obtaining specific knowledge about occupations, employers and job-search techniques.

www.aut.ac.nz/careerservices

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 encourage networking among postgraduate students across disciplines which is essential to those engaged in inter-disciplinary fields.

www.aut.ac.nz/orientation

Student accommodation

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

Wellesley Student Apartments is located in the heart of Auckland City at 8 Mount Street, and is a three minute walk from City Campus. Wellesley Student Apartments provide flatting-style accommodation in a safe, supportive and modern environment. Wellesley Student Apartments feature group living with each fully-furnished apartment having four or five bedrooms, two bathrooms and a living area and kitchen.

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

www.aut.ac.nz/accommodation

Campus events

Social activities and entertainment are a crucial part of student life and AUT holds hundreds of events every year to encourage students to have fun and meet people. These include the AUT orientation, market days, CONNECT bus trips, sporting events and many more.

www.aut.ac.nz/events

The Chinese Centre

The Chinese Centre is a 'home away from home' all AUT Chinese-speaking students. A Chinese-speaking staff member is available to assist Chinese students with Western academic study, provide information and advice on AUT, enrolment and programme selection and answer any queries regarding your life and study in Auckland.

Disability Resource Service

The Disability Resource Service provides proactive, individualised support for students with impairments. We work to minimise or eliminate barriers to your learning.

Services include information on campus accessibility, sign language interpreting and examination assistance. One-on-one support is available and general enquires are welcome.

www.aut.ac.nz/student_services/disability

Health, counselling and wellbeing

Health, counselling and wellbeing is a full General Practice (GP) medical and health centre on campus. We offer affordable, fully-accredited healthcare at City Campus and North Shore Campus with male and female doctors and nurses. We also offer free counselling services (including online counselling), spirituality and chaplaincy services, harassment support and education, and mental health support.

A large part of our role is working with students to promote healthy living. We are part of Auckland PHO and offer subsidised fees for eligible students who register with us.

Students studying at Manukau Campus can access these services at the City and North Shore campuses, or alternatively can contact a student advisor to make an appointment with a health professional.

International Student Support Service

International Student Support are a friendly team of support staff who are here to make international students' time at AUT rewarding and enjoyable. As well as offering advice and support, we also help international students meet others and have fun.

www.aut.ac.nz/student_services/international

Pasifika Student Support Service

The Pasifika Student Support staff are a warm and friendly team and are here to help Pasifika students from their first day on campus and throughout their study experience. Support is available in areas such as Pasifika scholarships, activities, study groups, problem solving and many more.

www.aut.ac.nz/student_services/pasifika

Scholarships Office

The AUT Scholarships Office administers a variety of postgraduate scholarships available to new and returning students. Staff can advise on external sources for funding as well as provide assistance throughout the application process.

www.aut.ac.nz/scholarships

Student Financial Services

Student Financial Services provide banking, budgeting and financial advice. We also offer emergency assistance to those experiencing extreme financial hardship.

www.aut.ac.nz/student_services/financial

Student Mentors

AUT Student Mentors are trained second-year and third-year students who support first-year students from the same area of study. Mentors are assigned at orientation and help students resolve any problems, find their way around campus and learn how to make the most of the University's services and facilities.

Te Tari Takawaenga Māori: Māori Liaison Services

The friendly staff at Te Tari Takawaenga Māori are here to help with anything that may be affecting students' studies or personal lives. The team can assist with issues including homesickness, whanau activities, student loans, enrolment choices, allowances, relationship problems and scholarships.

www.aut.ac.nz/student_services/maori

Contact numbers for the above Student Services are listed on page 119.

MONITORING AND EVALUATION

Annual Programme Reports

The University Postgraduate Board receives annual reports on all postgraduate programmes from boards of studies and considers these as submitted by the faculty postgraduate committee.

The University Postgraduate Board will provide an annual report on the Doctor of Philosophy and Master of Philosophy to Academic Board.

Reporting Areas may include:

Student Applications

- numbers
- enrolments

Student Profile

- age
- gender
- previous qualifications

Student Progress

- course completions
- research progress
- qualifications achieved

Research Projects

- in progress
- completed

Research Supervision

Graduate Destination

Research and/or Programme Development

Resources

- staff
- learning and/or research environment

Programme Monitoring

An action plan is prepared which outlines the changes intended to be implemented as a result of the evaluation.

University Surveys

The Institutional Research Unit (IRU) conducts surveys of both coursework and research postgraduate students. The outcomes of these surveys form an important tool in enabling the University to identify strengths and areas for improvement with regard to postgraduate programmes.

Supervision Support

The University's Centre for Learning and Teaching 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.

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.

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. An exemplar is included in “Appendix C: Supervision Agreements” on page 134.

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 committee⁴ 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);

Form PG2 - Variation of Record

- Doctoral candidates 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 candidate, supervisor and faculty postgraduate committee.

Form D6 - Change of Supervisors

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

⁴ University Postgraduate Board for MPhil students

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 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 Board⁵;
- 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.

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 Director of Postgraduate Studies or the Associate Dean (Postgraduate), or equivalent, for advice and/or assistance in the resolution of issues.

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.

⁵ University Postgraduate Board for doctoral and Master of Philosophy programmes.

A student may appeal against the final result determined by the examination board in respect of a paper 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 within 14 days of the time at which the result of the assessment was made available to the student.

The procedure for an appeal shall be:

- 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

Membership of the faculty appeals committee shall consist of the faculty dean, two senior academics from the faculty, one member of the programme board of studies in respect of which an appeal has been made and one student representative from the faculty concerned.

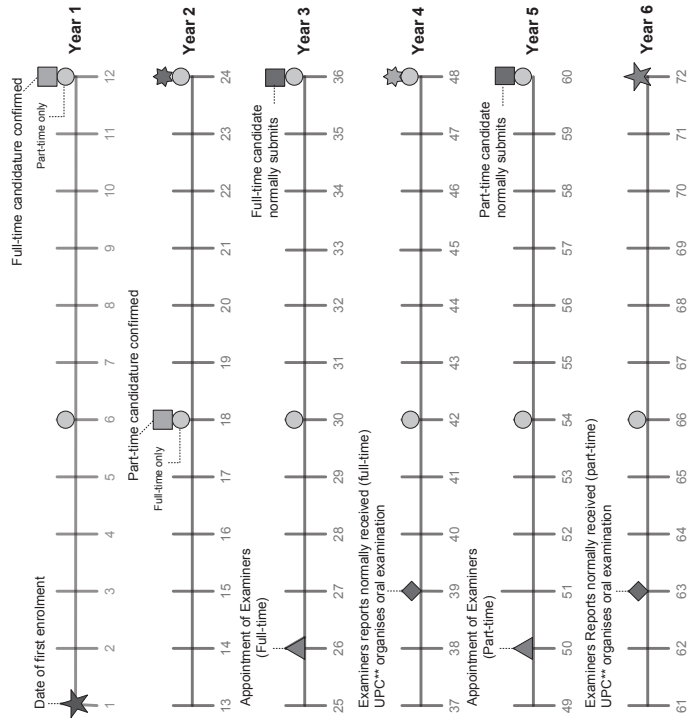
Thesis Appeals

Students may appeal against an assessment decision for a thesis, whether at the first examination or re-examination, and request a review of the examiners' recommendations. Any such appeal must be lodged with the University Postgraduate Board within 3 months of the date of notification of the result.

Requests for review are permitted only on the following grounds:

- 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.

Doctoral Studies Timeline



ADDITIONAL NOTES

- Application preparation normally begins within 3 months prior to the date of first enrolment.
- You are required to meet with your supervisor in person at least once a month.
- In order to graduate at one of the University's graduation ceremonies, the examination process and consideration of recommendations by the UPB* must be complete at least 6 weeks before the ceremony.

KEY

- Progress Report Due
- ★ Minimum time to complete as a full-time candidate
- ★ Minimum time to complete as a part-time candidate
- ★ Maximum time allowed for completion

* University Postgraduate Board ** University Postgraduate Centre

DOCTORAL SECTION

ADMISSION AND ENROLMENT

Note: Prior to commencing the preparation of the Application for Provisional Admission (Form D1), candidates would normally have discussed and confirmed supervision arrangements with the Associate Dean (Postgraduate) and completed an Application for Enrolment (AFE) form.

Preparation Paper for the Doctor of Philosophy Research Proposal

In order to facilitate the preparation of the initial research proposal, applicants to the Doctor of Philosophy programme are provided with access to University resources, free of charge for three months¹.

Applicants to professional doctorates will be considered for enrolment in this paper on a case-by-case basis.

Enrolling in the Research Proposal Preparation Paper

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

Applicants should note that enrolment in this paper does not constitute eligibility for student loans and allowances or acceptance onto the programme.

Provisional Admission

Doctoral applicants are granted provisional admission while the full research proposal (D9) is being developed. The D9 proposal must be submitted within 12 months after first enrolment for full-time candidates and 18 months for part-time candidates. The University Postgraduate Centre will follow up with the candidate 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.

Form D1 - Provisional Admission to the PhD Programme
Form D2 - Provisional Admission to a Professional Doctorate
Form D9 - Confirmation of Candidature

In certain circumstances where a student's research is part of a larger research project, a more complex provisional admission application (D1) is submitted. The faculty postgraduate committee makes the necessary recommendation to the University

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

Postgraduate Board for a less comprehensive research proposal² when the D9 is submitted.

Provisional Admission (with conditions)

Sometimes candidates 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 Board and may include a reading paper, a research report or papers in research methodology. The Board imposes these conditions in order to ensure that the candidate has the requisite knowledge and competencies required for full registration.

Candidates required to undertake a concurrent enrolment in a research methods paper as a condition of their provisional admission to the PhD programme will be eligible for a fee waiver for this paper. This does not apply to applicants who are required to complete a research methods paper prior to admission.

Applying for Admission

Applicants are required to submit to their faculty a brief research proposal with their application for admission, after consultation with potential supervisors.

Form D1 - Provisional Admission to the PhD Programme

Form D2 - Provisional Admission to a Professional Doctorate

- Faculties will approve the research proposal and submit the application to the University Postgraduate Centre who will admit the candidate and notify the Board. Where standard entry criteria are not met, the Centre will refer the application to the University Postgraduate Board.
- Applicants are normally informed of the results of their application via email and in writing by the University Postgraduate Centre. 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 candidate 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 of Enrolment.

2 In such instances the proposal consists of a fuller progress report with a clear indication of significant progress made.

Transitional Studies

Where an applicant does not meet the normal entry criteria, the faculty postgraduate 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 faculty postgraduate committee will seek the approval of the University Postgraduate Board for any transitional study agreements.

Confirmation of Candidature

The transition from provisional admission to full registration (Confirmation of Candidature) occurs after twelve months for full-time candidates (or 18 months for part-time) and following the submission of at least one (for full-time candidates) or two (for part-time candidates) six-monthly progress reports (Form D8). It is important to note that the submission of the D9 will replace the normal submission of the D8.

Candidates for a professional doctorate will normally submit a full research proposal when nearing the end of the coursework component.

Candidates who have a creative component to their doctoral examination should ensure that they consider appropriate budget expenses for their exhibition, for example, security requirements.

All candidates are required to present their D9 Research Proposal at a faculty seminar, prior to submitting to the University Postgraduate Board for consideration.

Your research proposal should include the following content:

- A summary of the research proposal
- Proposed thesis title
- Rationale and significance of the study
- 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 D9 form.

Form D9 - Confirmation of Candidature

Form D8 - Progress Report

Applying for Confirmed Candidature

In order to gain confirmed candidature, candidates prepare a detailed research proposal (D9).

- This proposal is considered by the faculty postgraduate committee and approves it under delegated authority from the University Postgraduate Board. Where there is an issue which requires further discussion the Faculty may bring the D9 to the UPB.
- Faculties will send a timetable of upcoming D9 presentations and venues to the UPC for inclusion in the agenda, so that interested Board members may attend if they wish. Once approved, the Faculty provides a copy of the final version of the D9, a full report on the presentation, including changes made, to the UPC. The UPC will note all confirmations to the Board and include a copy of the report and abstract for information in the agenda.
- Candidates are notified by the University Postgraduate Centre of the outcome.
- Normally, the main data collection should not commence prior to confirmation. It is incumbent on the candidate 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 D9 application if data gathering has already commenced.

Business Cards

All doctoral candidates who have had their candidature confirmed will be eligible to hold an AUT business card. This will be facilitated by the University Postgraduate Centre.

PROGRESSION THROUGH THE DEGREE

Note: All variations, including progress reports and supervisory changes are received and monitored by the University Postgraduate Centre under delegated authority from the University Postgraduate Board. Any issues raised by candidates or supervisors will be followed up on by the University Postgraduate Centre.

Candidate Progress Reports

Progress reports are vital to the University's overall monitoring of both individual progress and programme issues.

All doctoral candidates (both full-time and part-time) are required to supply six-monthly reports which reflect the progress of their work.

Once the candidate 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 candidate's progress. Comments must be discussed with the candidate 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 candidate's progress has been appropriately discussed with the Associate Dean (Postgraduate) or their equivalent, prior to submitting reports to the faculty postgraduate committee. These are then forwarded to the University Postgraduate Centre who monitor and report any problems identified to the University Postgraduate Board.

Note: Candidates are required to include a timetable for provision of these reports as part of the candidate/supervision agreement .

Form D8 - Progress Report

It is important to note that progress reports should not be the first point at which a supervisor and candidate 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 candidates and staff.

Candidates may seek advice from the Associate Dean (Postgraduate) on any aspect of their candidature, including problems. Advice can also be sought from the Director, Postgraduate Studies. The Director provides an independent and confidential point of contact for candidates and/or supervisors.

Appointment of Supervisors

Supervisors are normally appointed prior to the commencement of the D1. All new appointments or changes to supervisors must be approved by the faculty postgraduate committee and forwarded to the University Postgraduate Centre.

The Associate Dean (Postgraduate) will appoint a supervisory mentor if changes to the supervisory team result in neither supervisor having supervised a doctoral candidate to completion.

A supervisory mentor who is a leading researcher may also be appointed for international candidates if neither of the supervisors have the experience to be considered a leading researcher. Their details should be included in the D1 as an additional supervisor, clearly identifying the role.

All primary supervisors are expected to complete a 'Research Supervision Agreement' with the candidate. Please refer to the 'Code of Practice for Supervisors' on page 80.

Form D6 - Change of Supervisors

Variations to Candidature

Candidates are able to apply for the following variations to the record of candidature:

- deferment of enrolment;
- extensions;
- mode of study (full-time/part-time)
- leave of absence;
- withdrawal.

Deferment of Enrolment

With the approval of the supervisor, an applicant may seek approval for the deferment of commencement of their provisional candidature, for a period of up to 12 months from the date of approval by the Board. The applicant should discuss their intention to defer with their Associate Dean (Postgraduate).

If the provisional candidature is not reactivated within the approved timeframe, then the applicant must reapply for admission.

Form D7: Variation of Record

Extensions

If a candidate cannot complete the thesis within the normal timeframe, they must apply to the University Postgraduate Board for an extension of time. Such applications are considered on their merits, but in general an extension is normally granted only when the thesis is close to completion and where there is certainty that the thesis can be completed if more time is allocated. An extension is not normally granted in cases where research data collection remains incomplete, and where the candidate has made slow progress throughout. Normally only one extension, regardless of its duration is permitted. Candidates should be aware that the granting of an extension period beyond twelve months is unlikely. Candidates should apply in advance through

their supervisor and faculty postgraduate committee on Form D7 to the University Postgraduate Centre. Candidates are expected to submit a progress report with their request for an extension, along with a proposed timeframe for completion. The Board may request the submission of more frequent progress reports as a means of monitoring progression. Once an extension is granted, the candidate is enrolled into an extension paper and will be expected to pay the normal tuition fees.

Form D7 - Variation of Record

Mode of Study

Candidates may enrol full-time or part-time. Changes to mode of study will require approval from the faculty postgraduate committee and the University Postgraduate Board.

Changes to mode of study will normally only be permitted at the end of the current period of enrolment. International students are not permitted under the terms of their entry visas to study part-time, unless they are based overseas.

Form D7: Variation of Record

Major Change to Thesis Topic

Changes to the title are allowed during the course of the thesis.

Changes to a thesis topic must be approved by the faculty postgraduate committee and University Postgraduate Board. Substantive changes to the thesis topic may result in the requirement of an additional or new research proposal.

Form D5: Major Change of Topic

Leave of Absence from Candidature

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

If a candidate is prevented from undertaking work on the thesis for an extended period due to illness or unforeseen domestic/personal circumstances, the University Postgraduate Board may approve a leave of absence for a period of no more than twelve months. The effect of such a leave of absence is to 'stop the clock' for the candidate so that they are not penalised in terms of the normal completion timeframe. A request for a leave of absence should be made in writing to the faculty postgraduate committee either by the supervisor or the candidate and should include a full explanation of the circumstances and evidence that during the period of absence the candidate would be unable to study, research or progress in any manner in the thesis. Wherever possible candidates should request a Leave of Absence at the end of an enrolment period. It is possible to ask for a retrospective leave of absence as in the case of a candidate who becomes ill and the period prescribed for recuperation is extended. A candidate who has been granted a leave of absence will not normally have access to AUT resources during this period.

If circumstances are such that it cannot be anticipated when the candidature will be resumed, candidates should seek to withdraw from the programme by writing to the University Postgraduate Board/faculty postgraduate committee, after consultation with their primary supervisor.

Form D7: Variation of Record

Withdrawal

Notification of withdrawal can be done at any time and should be made in writing to the faculty postgraduate committee after consultation with the primary supervisor. The faculty postgraduate committee will forward the notification to the University Postgraduate Centre who will advise the University Postgraduate Board.

Candidates 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.

It is important to note that should a candidate withdraw after 3 complete years of full-time or 4.5 years part-time 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.

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 candidate 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.

Form D7: Variation of Record

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.

The faculty postgraduate committee will notify the candidate 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 and offer the candidate an opportunity to discuss the matter with the Associate Dean (Postgraduate). The candidate should be given an appropriate timeframe to reply to the correspondence. A copy of all correspondence should be sent to the University Postgraduate Centre.

If the candidate fails to contact the faculty within the specified timeframe, the Associate Dean (Postgraduate) will again advise the faculty postgraduate committee and University Postgraduate Centre. The Centre will notify the candidate in writing, stating that if contact is not made with the Associate Dean (Postgraduate) within an agreed timeframe, the University Postgraduate Centre will recommend to the University Postgraduate Board that the enrolment be terminated and the candidate be deemed to have withdrawn from the programme.

If no contact is made, the University Postgraduate Board will consider the recommendation of the University Postgraduate Centre who will then notify the candidate in writing of the final outcome.

A candidate 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 candidate.

If the candidate 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 candidate.

Confidential Material and Embargo Process

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.

For further information and guidelines regarding confidential material and the embargo process, please refer to the 'Research Section' on page 90.

EXAMINATION PROCESSES

Appointment of Examiners

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. Where a candidate is also a member of staff, all examiners are to be external to the University.

Normally, no examiner should have been a supervisor for the candidate at any stage, or have had any input or involvement in the research. All shall have international standing in the relevant field or discipline and at least one examiner must have examination experience at doctoral level. A 'mentor examiner' should be appointed to guide first time examiners through the process.

Examiners are nominated by the faculty postgraduate office or supervisor and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted. Availability for participation in the oral examination should also be established at this stage.

Once the recommended examiners are approved by the University Postgraduate Board, the University Postgraduate Centre 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). The examiners are given a copy of the University's briefing pack for examiners and informed of the date their reports are due. Examiners are also advised that their identity will be disclosed to the candidate and primary supervisor prior to the oral examination.

It is expected that the formal invitation 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 role³.

Candidates and supervisors should take cognisance of the time frames for the examination process. Exhibition dates should be organised in such a way to align with the proposed date of exegesis lodgement.

Copies of the thesis/exegesis will be dispatched to the examiners by the University Postgraduate Centre. The written reports from each examiner will be returned to the Centre before any discussions or dissemination of the reports takes place.

Form D11 - Recommendation for Appointment of Examiners

Please refer to "Formatting and Presentation" on page 98 for the presentation requirements for the copies for examination.

Reserve Examiner

The provision of a reserve examiner should be considered in all cases.

³ This process may vary for creative or practice-based examinations.

Convenor

At the time that the examiners are approved by the University Postgraduate Board, a Convenor will also be appointed. The Convenor must be neutral (in the sense that they will not have expertise in the subject being examined and in a different faculty from the candidate). The Convenor will accept overall responsibility for ensuring that the examination is fair to the candidate concerned, whilst at the same time meeting the expectations of the Board, the University and the examiners.

Lodgement for Examination

Full-time candidates will normally be expected to submit for examination within four years of their first enrolment. Part-time candidates will normally be expected to submit within six years of their first enrolment.

Declaration of Suitability for Examination

The supervision team (including any supervisory mentor) 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 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 if it is not considered to be in a suitable form for examination.

It is important to note that a candidate 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 attached to it statements from the supervisor(s) and the candidate outlining the circumstances. In addition, where the Faculty does not agree to sign off the thesis for examination (for whatever reason) this is to be stated on the Lodgement Form (D12) as appropriate. In such circumstances the University Postgraduate Centre will consult with the Director Postgraduate Studies on appropriate action.

A candidate must lodge four (4) copies of the doctoral thesis for examination with the faculty postgraduate office, accompanied by a completed 'Lodgement of Thesis for Examination' form. Lodgement of the thesis and form need to be approved by the Associate Dean (Postgraduate), or delegated authority. All four copies are then forwarded to the University Postgraduate Centre for examination.

Form D12 - Lodgement of Thesis for Examination

If the thesis is to be embargoed, please refer to the 'Confidential Material' section on page 90 for guidelines and processes.

Once the thesis has been lodged for examination, there must be no direct communication between the candidate or supervisors and any of the examiners.

Primary Supervisor's Report

The primary supervisor will be asked to provide a report to the University Postgraduate Centre, commenting on:

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- the context or outcome of the research;
 - the originality of the research;
 - the contribution of the candidate in relation to quality;
 - future opportunities for further research.

This report will be distributed to the oral examination panel along with copies of the examiners' reports.

Doctoral Synopsis for Graduation

Doctoral candidates are required to provide a brief synopsis of the research (200-300 words maximum, in plain English) for inclusion in the Graduation Programme. The synopsis should be approved by the primary supervisor by e-mail prior to submission and emailed to the University Postgraduate Centre at the time the thesis is lodged for examination. The synopsis should include:

- Title of Thesis;
- Primary Supervisor;
- Other Supervisors;
- Synopsis of Research.

Where possible candidates will be given the opportunity prior to the printing of the Graduation Programme to review the synopsis and make changes if required.

Examination Timeframe

The candidate should remain enrolled throughout the examination process and until submission of the final bound thesis.

Where a candidate has not yet submitted the thesis for examination but is close to submission (within the next four or five months) and their current enrolment ends; they will be enrolled for a further six months and be liable for fees for that enrolment. Where this goal is not met, a further six month enrolment is required, along with the appropriate fees. When a candidate's enrolment period ends and they have submitted their thesis for examination, then they will be enrolled in a four month examination extension paper with a nil fee.

Examiners are asked to provide their reports within eight weeks⁴. Candidates should note that this timeframe is a guideline only and that the examination process frequently extends past this period. The University Postgraduate Centre maintains contact with the examiners to monitor progress.

Candidates 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 be complete at least **six weeks** before the ceremony.

⁴ This may vary for creative or practice-based examinations

Examiners' Reports

Each examiner is asked to examine or consider the thesis and present an independent report to the University Postgraduate Centre.

Each examiner is asked to comment on:

- the overall performance of the candidate in relation to peers on comparable programmes;
- the appropriateness of research methodology used;
- 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 candidate.

Examiners are also asked to identify specific questions to be asked of the candidate at the oral examination.

All examiners' reports are treated as strictly confidential and, when all have been received (and not before), copies will be distributed to the members of the Examination Panel. There will be no discussion between the examiners, supervisor(s) and the candidate prior to the oral examination. Occasionally, the Convenor may contact the examiners to clarify points raised in the reports.

Where there is no clear agreement on the outcome of the examination, a fourth 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.

All examiners' reports will normally be released to the candidate at the pre-meeting, one week prior to the oral examination⁵.

Pre-meeting for Oral Examination

The Convenor is responsible for overseeing the arrangements for an oral examination in conjunction with the University Postgraduate Centre.

In order to ensure the candidate is familiar with the format of an oral examination, a pre-meeting will be held with the Convenor, supervisor(s) and candidate, prior to the actual examination.

At this meeting the Convenor will explain the oral examination process to the candidate, disclose the identity of the examiners and provide anonymous copies of the examiners reports. This will vary for creative or practice-based examinations.

⁵ AUT is trialling providing examiners reports prior to the oral examination and will be reviewing this in 2011/12. As part of the trial, examiners' questions to be raised as part of the oral examination will also be provided. Examiners, candidates, supervisors and convenors will be asked to provide feedback on this trial.

There must be no direct communication between the candidate or primary supervisor and any of the examiners.

Role of the Primary Supervisor

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 candidate. 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. The UPC will invite all members of the supervisory team to attend the oral examination to provide support for the candidate.

NB: The timetabling of the oral will only be scheduled around the availability of the candidate, examiners and primary supervisor.

Oral Examination Process

Candidates will be required to present in person for an oral examination. However, if there are extenuating circumstances as to why a candidate 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 D11 form.

Form D11- Recommendation for Appointment of Examiners

The purpose of the oral examination is to:

- examine the candidate's original contribution to knowledge in their chosen discipline or field of study;
- examine the candidate's critical judgement and understanding in order to distinguish between the candidate's contribution and any contributions from other sources to the thesis;
- enable the candidate to coherently and competently defend their thesis.

Normally, the oral examination will take place within one month of receipt of all the examiners' reports and the primary supervisor's report⁶.

Should all examiners recommend that the thesis be failed the oral examination will still proceed in order to give the candidate the opportunity to defend their thesis.

The oral examination panel normally consists of a Convenor and all examiners, with at least one New Zealand examiner present in person. Prior to the oral examination, the examiners will have already submitted relevant questions to put to the candidate during the oral exam. As previously noted, the University is trialling provision of the questions prior to the oral. In certain circumstances, such as time/distance constraints, video/teleconferencing will be arranged through the University Postgraduate Centre.

⁶ This will vary for creative or practice-based examinations

The Convenor will chair the oral examination, ensuring that the questions raised in the examiners' reports are put to the candidate 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. The Convenor will not interfere with the questioning and will not comment on the candidate's thesis.

At the conclusion of the oral examination the Panel will attempt to reach a consensus on the recommendations. If the Panel reaches agreement, the Convenor will write a brief report on the oral examination and submit this report along with the summary recommendation to the University Postgraduate Centre for the next meeting of the University Postgraduate Board. Once any amendments have been completed, the Board will then recommend to Academic Board that Council approve the award of the degree.

Form D13 - Oral Examination Panel Report

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 other courses of action (including further assessment of the thesis) in order to resolve any impasse.

Recommendations on the outcome and/or amendments to the thesis, either by the examiners or the Examination Panel, will normally be advised to the candidate and supervisor(s) at the conclusion of the oral examination.

Examination of Creative Works⁷

Six months prior to the examination the candidate and supervisor should discuss the possible resource implications for the examination; for example, venue, security, equipment. At this time, supervisors should also discuss any travel and accommodation expenses with the faculty postgraduate office.

Appointment of Examiners

The primary supervisor should informally approach examiners (approximately nine to twelve months prior to the expected date of submission) regarding their ability and willingness to examine. The supervisor should also discuss with the examiners tentative timeframes for the oral examination and advise that they may be required for approximately 3 to 4 days.

Once the examiners have been formally approved, the University Postgraduate Centre will coordinate 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 candidate with the examiners.

Examination Process

The candidate is required to submit four copies of the exegesis to the University Postgraduate Centre, at least four weeks prior to the examination. Candidates who

⁷ Due to the nature of creative works, individual requirements may vary and these arrangements may be altered on a case-by-case basis.

do not wish to supply the exegesis until the oral examination will be required to provide a letter of support from their supervisor and a supplementary document defining the exegesis and creative work, within the theoretical framework used.

The examination will normally commence with the viewing of the work. The candidate will normally be present to provide clarification when necessary. The primary supervisor may attend the exhibition/performance to provide collegial support for the candidate. The oral examination will normally commence within two days of the viewing, during which time the examiners will reflect on the exegesis and creative work and formulate their questions for the oral examination.

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 candidate 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 University Postgraduate Centre for forwarding to the University Postgraduate Board for approval.

Copies of the reports will then be forwarded to the candidate and supervisor to make the required amendments.

Pre-meeting for Creative Works

Candidate:

The Convenor is responsible for overseeing the arrangements for an oral examination in conjunction with the University Postgraduate Centre.

In order to ensure the candidate is familiar with the format of an oral examination, a pre-meeting will be held with the Convenor, primary supervisor and candidate, prior to the actual examination. At this meeting the Convenor will explain the oral examination process to the candidate and disclose the identity of the examiners.

Examiners:

The Convenor will meet with the examiners prior to the viewing of the work to discuss and outline the oral examination process.

Examiners' Recommendations

There are a number of possible outcomes from the examination process and the examiners and the Examination Panel are required to identify the one recommended as the most appropriate for the candidate. The outcomes are:

- **That the candidate be awarded a doctoral degree;**

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- **That the candidate be awarded a doctoral degree subject to the candidate making editorial amendments only (as identified by the examiners) to the satisfaction of the primary supervisor and/or Convenor of examiners.**

Such amendments are to be made to all full bound copies of the thesis. The candidate 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 Form D14 will be forwarded to the University Postgraduate Centre confirming that all the corrections have been completed satisfactorily. The University Postgraduate Centre will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

Form D14: Amendments to Thesis as Required by Examiners (NB: only changes requested by the examiners and minor typographical corrections may be made to final bound copies)

- **That the candidate be awarded the doctoral degree subject to the candidate making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) and/or the Convenor of examiners as appropriate.**

Such amendments are to be made to all full bound copies of the thesis. The candidate 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 Form D14 will be forwarded to the University Postgraduate Centre confirming that all the corrections have been completed satisfactorily. The University Postgraduate Centre will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

Form D14: Amendments to Thesis as Required by Examiners (NB: only changes requested by the examiners and minor typographical corrections may be made to final bound copies)

- **That the candidate be required to revise and re-submit for further examination within a specified time;**

The candidate will be required to re-enrol and must submit revised copies of the thesis in the same manner as for the first examination. At the discretion of the University Postgraduate Board, the revised thesis may be sent to those examiners who wished to re-examine the thesis. Where an original dissenting examiner declines to re-examine the thesis, another examiner will be appointed. This examiner may be the reserve examiner appointed for the original examination. The candidate will be permitted to submit the thesis for re-examination only once, and then only at the discretion of the University Postgraduate Board. The forms of re-examination which may be allowed include:

- the thesis to be re-examined only after revision;
- a re-examination of the thesis after revision and the holding of an additional oral examination;
- an additional oral examination (without the need to revise or re-submit the thesis);

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- the holding of a different form of examination to test the candidate's knowledge.

Candidates must be able to complete the changes for the revised thesis within twelve months' full-time study or eighteen months' part-time study. If the revisions are to the extent that this is not possible, the candidate should be recommended for Fail and the degree not awarded.

In order to support the candidate with the resubmission process, a schedule of monthly meetings between the supervisor and the candidate will be required. Both supervisor and candidate will also be required to meet two/three monthly with the Associate Dean (Postgraduate) who will update the University Postgraduate Board of the candidate's progress. Once revisions have almost been completed the Faculty will organise for an independent review prior to the thesis being sent for re-examination. In addition, the Faculty will arrange for a mock examination(s) to be held to prepare the candidate for their oral defence.

- **That the thesis is not of a acceptable standard and the degree not be awarded;**

In this situation the thesis cannot be re-submitted 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 candidate through the University Postgraduate Board.

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

Release of Information

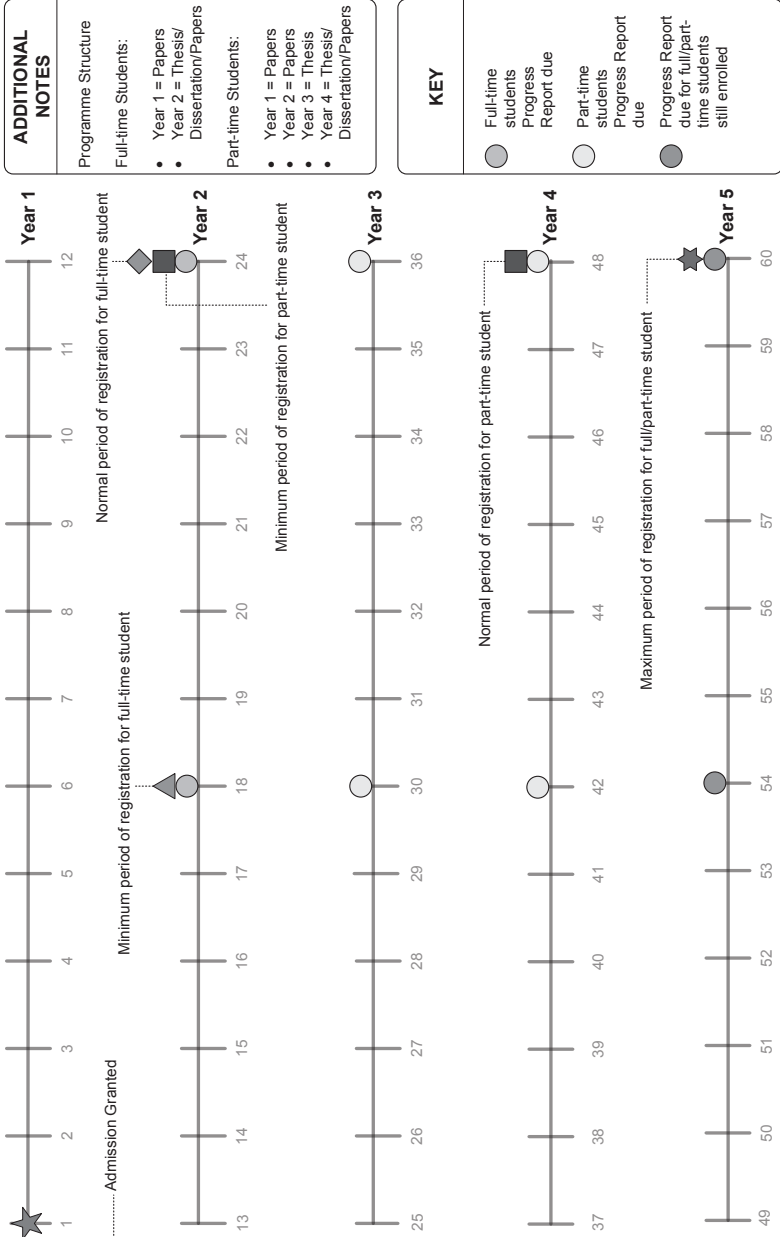
The determination of the University Postgraduate Board will be conveyed in writing to the candidate by the University Postgraduate Centre.

The University Postgraduate Board will recommend that Academic Board approve the awarding of degrees to those candidates who have fulfilled all 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 candidate after the examination process is complete.

It is the practice of the University that the outcome of the candidate's degree be formally acknowledged to the examiners by the University Postgraduate Centre.

Research Master's Degrees Timeline



ADMISSION AND ENROLMENT

Preparation Paper for the Master of Philosophy Research Proposal

In order to facilitate the preparation of the initial research proposal applicants to the Master of Philosophy programme are provided with access to University resources, free of charge for three months¹.

Enrolling in the Research Proposal Preparation Paper

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

Applicants should note that enrolment in this paper does not constitute eligibility for student loans and allowances or acceptance onto the programme.

Applying for Admission to the Master of Philosophy Degree

Applicants must complete a postgraduate research proposal.

Form PG1 - Postgraduate Thesis/Dissertation Research Project Proposal

- The faculty postgraduate committee will approve and submit the application to the University Postgraduate Centre who will admit the student and notify the University Postgraduate Board. Where standard entry criteria are not met, the University Postgraduate Centre will refer the application to the University Postgraduate Board.
- Applicants are normally informed of the results of their application by email and in writing by the University Postgraduate Centre. 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.

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

Applying for Admission to the Thesis Component of a Research Master's Degree

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

Form PG1 - Postgraduate Thesis/Dissertation Research Proposal.

- The proposal is submitted to the faculty postgraduate committee for approval.
- Once approved, the School enrolls the student into the thesis or 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.

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 concurrently undertake papers or demonstrate competencies. The faculty postgraduate committee² 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 accepted the application.

² University Postgraduate Board for Master of Philosophy

PROGRESSION THROUGH RESEARCH COMPONENTS

Variations to Candidature

(Applies to coursework and research components)

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

- Deferment of Enrolment for Master's degrees;
- Mode of Study (full-time/part-time);
- Change to Thesis/Dissertation Topic/Title;
- Extensions;
- Leave of Absence;
- Withdrawal.

Deferment of Enrolment

An applicant may, with the approval of the supervisor, seek approval for the deferment of commencement of the programme for a period of up to 12 months from the date of approval by the faculty postgraduate committee³. The applicant should contact 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.

Form PG2 - Variation of Record

Mode of Study

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. If this is the case, then an extension would be required.

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

Form PG2 - Variation of Record

Extensions

If a student cannot complete the thesis/dissertation/exegesis within the normal timeframe, they may apply to the faculty postgraduate committee³ for an extension. 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

³ University Postgraduate Board for Master of Philosophy students.

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 Form PG2.

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 extension⁴. 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.

Fees are set on a pro-rata basis.

Form PG2 - Variation of Record

Leave of Absence

If a student is prevented from undertaking work on the thesis or dissertation for an extended period due to illness or unforeseen domestic/personal circumstances, the faculty postgraduate committee may approve a leave of absence 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. Wherever possible candidates should request a leave of absence at the end of an enrolment period. It is possible to ask for a retrospective leave of absence as in the case of a student who becomes ill and the period prescribed for recuperation is extended. A student who has been granted a leave of absence will not normally have access to AUT resources during this period.

Form PG2 - Variation of Record

Withdrawal

If circumstances are such that it cannot be anticipated when the candidature will be resumed, students should seek to withdraw from their candidature by writing to the faculty postgraduate committee, after consultation with their primary supervisor.

Students able to resume at a later date would have to re-apply for admission. Some recognition might 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.

⁴ University Postgraduate Board for Master of Philosophy students

It is important to note that should a student withdraw after 9 months of full-time study or 1.5 years of part-time study, they will receive a DNC (Did Not Complete) grade.

Prior to this a W (withdrawn) grade will be received.

Form PG2 - Variation of Record

Change to Thesis/Dissertation Topic/Title

Changes to the title are allowed during the course of the thesis/dissertation/exegesis.

Changes to the title that are as a result of a substantive change in the research topic, must be approved by the faculty postgraduate committee⁵.

Form PG2 - Variation of Record

Unsatisfactory Progress/Termination of Enrolment

If a research student's progress is unsatisfactory the primary supervisor will (in writing) alert the Associate Dean (Postgraduate), who will advise the faculty postgraduate committee.

The faculty postgraduate committee 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 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 all correspondence should be sent to the University Postgraduate Centre.

If the student fails to contact the faculty within the specified timeframe, the Associate Dean (Postgraduate) will advise the faculty postgraduate committee and University Postgraduate Centre. The Centre will notify the student in writing stating that if contact is not made with the Associate Dean (Postgraduate) within an agreed timeframe, the University Postgraduate Centre will recommend to the University Postgraduate Board that the enrolment be terminated and the student be deemed to have withdrawn from the programme.

If no contact is made, the University Postgraduate Board will consider the recommendation of the University Postgraduate Centre who 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.

⁵ University Postgraduate Board for Master of Philosophy students.

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.

Student Progress Reports

Progress reports are vital to the University's overall monitoring of both individual progress and programme issues.

All Master's students (full-time and part-time) are required to provide six monthly progress reports from the date of commencement of the thesis/dissertation, usually at the end of each semester.

Once the student has completed their section, 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 disclosed to the student. Supervisor(s) are also required to discuss with the student any remedial action to be taken.

The Supervisor(s) then signs the relevant section of the form and ensures, if there are any problems, that the student's progress has been appropriately discussed with the programme leader prior to submitting reports to the faculty postgraduate committee¹. The student also signs that the report has been discussed with them.

Form PG3 - Postgraduate Student Progress Report

The six-monthly progress report 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 supervisory 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 failure to do so could be disadvantageous to both students and staff.

Programme Leaders and Associate Deans (Postgraduate) or their equivalent may be able to assist with the resolution of a problem.

Students may also seek advice from the Director, Postgraduate Studies on any aspect of their candidature including problems. The Director provides an independent and confidential point of contact for both students and supervisors.

Appointment of Supervisors

Supervisors are normally appointed prior to the submission of the PG1. All new appointments or changes to supervisors must be approved by the faculty postgraduate committee⁶.

The Associate Dean (Postgraduate) will appoint a supervisory mentor if changes to the supervisory team result in neither supervisor having supervised a master's student to completion.

⁶ University Postgraduate Board for Master of Philosophy

All primary supervisors are expected to complete a 'Research Supervision Agreement' with the student. Please refer to the 'Code of Practice for Supervisors' on page 80.

Form PG2 - Variation of Record

Confidential Theses and Embargo Process

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.

For further information and guidelines regarding confidential material and the embargo process, please refer to the 'Research Section' on page 90.

RESEARCH EXAMINATION PROCESSES

*Note: The **Bachelor's Degrees with Honours, Postgraduate Diplomas and Master's dissertations** examination processes are the same as for Master's thesis, except that the faculties process all dissertation examinations.*

Appointment of Examiners

The examination process starts before the thesis/dissertation has been completed.

In order to avoid any unnecessary delays in the examination process, supervisors or programme leaders are asked to ensure that when a thesis/dissertation is submitted the examiners have already been arranged and are willing to act.

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.

Students may indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. Students may also initiate with their primary supervisor and/or faculty dean, a discussion as to the range of possible examiners. The Faculty Associate Dean or the supervisors may also initiate this discussion.

The primary supervisor or programme leader should informally approach examiners regarding their ability and willingness to act at the time the thesis/dissertation is expected to be submitted.

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.

Theses and dissertations greater than 60 points are examined by a minimum of two examiners, one of whom should be an independent external examiner.

Dissertations of 60 points or less will normally be examined by two internal examiners. Where appropriate, an external examiner may be appointed.

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/dissertation. An internal examiner is defined as a member of staff of AUT at the time when invited to examine the thesis. At least one of the nominated examiners must have previous experience in the examination of theses and/or dissertations. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae) to the faculty postgraduate office for their files. It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. Examiners are expected to have had no involvement with the student or the research.

If a student is also a staff member, all examiners are to be external.

All nominations for the appointment of thesis/dissertation examiners are to be forwarded by the primary supervisor on the form provided for this purpose to the faculty postgraduate committee⁷

Form PG4 - Appointment of Examiners form

Once the recommended examiners are approved, the University Postgraduate Centre (for thesis examinations) or faculty postgraduate office or delegate (for dissertation examinations), 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). It would be expected that 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.

In the event of a delay in the lodgement of the thesis/dissertation for examination, the programme leader should inform either the University Postgraduate Centre or faculty postgraduate office (as appropriate) who will notify the examiners of the delay.

Reserve Examiner

The provision of a reserve examiner should be considered in all cases. Reserve examiners for theses should be external to the University.

Thesis/Dissertation - Visual Exhibition

It is the responsibility of the student, in consultation with the primary supervisor, to arrange the venue for the visual exhibition.

The supporting written exegesis will normally be sent by the University Postgraduate Centre 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 University Postgraduate Centre 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 PG4 by the faculty postgraduate office.

Form PG4 - Appointment of Examiners

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 PG4.

Students and supervisors must take cognisance of the time frames for their examination process. Exhibition dates should be arranged at an appropriate time, taking into account the exegesis lodgement date.

⁷ University Postgraduate Board for Master of Philosophy

Lodgement for Examination

Students enrolled full-time in a 120 point thesis will normally be expected to submit for examination within one year. Students enrolled part-time in a 120 point thesis will normally be expected to submit for examination within two years. Full-time students enrolling in 60 point dissertations will normally be expected to complete within one semester and part-time students within two semesters.

A thesis/dissertation for examination is lodged with the faculty postgraduate office, or delegate, accompanied by a completed 'Lodgement of Thesis/Dissertation for Examination' form. Lodgement of the copies of the thesis and form needs to be approved by the Associate Dean (Postgraduate), or delegated authority and then forwarded to the University Postgraduate Centre for examination. Dissertation examinations will be processed by the faculty.

Form PG5 - Lodgement of Thesis/Dissertation for Examination

Please refer to "Formatting and Presentation" on page 98 for the presentation requirements of the copies for examination.

Declaration of Suitability for Examination

The primary supervisor and Associate Dean (Postgraduate), or delegated authority are required to declare that the thesis/dissertation is in a suitable standard for examination. This relates to the presentation of a thesis/dissertation, including 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/dissertation considered not to be in a suitable form for examination.

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 PG5 along with an explanation of the reason.

Examination Timeframe

Examiners are asked to provide their reports within six weeks⁸. Students should be aware that examiners are not always able to complete their reports according to this timeframe and that this six week period is a guideline only. The University Postgraduate Centre (theses) or faculty office (dissertations) maintains contact with the examiners to monitor progress.

Students may contact the University Postgraduate Centre to enquire about the progress of the thesis examination or faculty office for dissertations. Students should

⁸ A shorter time frame is requested for creative/visual examinations.

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.

Students and supervisors must not attempt to communicate in any way with the examiners once the thesis/dissertation has been lodged.

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 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 faculty postgraduate committee and University Postgraduate Board must be completed at least six weeks before the ceremony.

Examiners' Reports

Each examiner is asked to examine or consider the student's thesis/dissertation, and present an independent report to the University Postgraduate Centre (thesis) or faculty postgraduate office (dissertation) under the following areas:

- Defines a research problem, formulates a research question or issues, designs and justifies an appropriate methodology or approach which addresses the question or research issues;
- Critically reviews relevant research contexts, including literature in the field, citing the investigation within those research contexts;
- Applies research skills relevant to the specific areas of interest, such as; appropriate methods of collection, analysis, creative processing and interpretation;
- Demonstrates application of research methodology and methods developing critical analysis and complete a scholarly body of work;
- Critically reflects and evaluates the significance of the research in the discipline area.

The criteria in the following grid are provided to examiners to guide the thesis/dissertation grading process:

Examiners Comment on	Grade Range A (A-,A,A+)	Grade Range B (B-,B,B+)	Grade Range C (C-,C,C+)
1. Define a research problem, formulate a research question or issues, design and justify an appropriate methodology or approach which addresses the question or research issues.	<p>Sound knowledge of the subject area.</p> <p>Competence in clearly articulating a research question or issue.</p> <p>In-depth analysis of the question or issue, is informed by the rationale underlying the study and based on appropriate evidence and creative processes.</p> <p>Clearly articulated and sound rationale for the methodologies adopted (through, for example, explicit validation processes and/or critique of other available approaches).</p>	<p>Is very good overall.</p> <p>Research question or issues justified.</p> <p>Analysis of the question / issue based on evidence and rationale for the research, evident.</p> <p>Some discussion of a range of methodologies and justification of methodologies adopted.</p>	<p>Is satisfactory overall in knowledge of subject area.</p> <p>States a research question or issue stated.</p> <p>Adequate development of analysis in answering the stated hypothesis / question / issues.</p> <p>Acknowledgement of weaknesses / strengths of the methodologies adopted.</p>
2. Critically review relevant research contexts, including literature in the field citing the investigation within those research contexts.	<p>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.</p> <p>Comprehensive and consistently reported bibliography.</p> <p>A high level of synthesis and critique of the relevant literature, text or artefact.</p>	<p>Evidence of reading across the research context with comprehension of key issues.</p> <p>Bibliography reflects critique.</p> <p>Critique of literature, text or artefact and some evidence of synthesis.</p>	<p>Evidence of reading across the research context.</p> <p>Basic ability to evaluate and critique referenced material.</p> <p>Adequate comparisons made with cited literature, text or artefact.</p>

Examiners Comment on	Grade Range A (A-,A,A,+)	Grade Range B (B-,B,B,+)	Grade Range C (C-,C,C,+)
3. Apply research skills relevant to the specific areas of interest such as appropriate methods of collection, analysis, creative processing and interpretation. Interpretation.	<p>Confident and imaginative use of research methods.</p> <p>Clear presentation and elaboration of a research question/issues, the research process and analysis.</p>	<p>Justifies and uses research methods appropriately.</p> <p>Appropriate presentation and some elaboration of a research question/issues, the research process and analysis.</p>	<p>Uses research tools appropriately.</p> <p>Major points relevant to the problem/issues presented with evidence of the integration of ideas evident.</p>
4. Demonstrate application of research methodology and methods developing critical analysis and complete a scholarly body of work.	<p>Mastery of the research process.</p> <p>Demonstrates significant capacity to present at a scholarly level.</p> <p>Thesis is highly organised and integrated. The intent of the researcher is explicit and expressed with clarity and insight.</p> <p>An in-depth articulation of the communication frameworks used.</p>	<p>Argument of results against cited literature.</p> <p>Presents at a scholarly level supported by appropriate application.</p> <p>Thesis is well organised and integrated.</p> <p>A clear articulation of the communication frameworks used.</p>	<p>Understanding of the research process evident.</p> <p>Referencing and presentation appropriate.</p> <p>Thesis is organised and integrated.</p> <p>Presents the communication frameworks used.</p>
5. Critically reflect and evaluate the significance of the research in the discipline area.	<p>Ability to draw sound conclusions or findings through the research conducted.</p> <p>In-depth evaluation & reflection evident in relation to the significance of results, their limitations, implications and relation to the wider literature on the topic.</p> <p>A clear articulation of the significance including limitations, implications and recommendations as appropriate.</p> <p>A clear demonstration of originality or innovation in research outcomes.</p>	<p>Thorough knowledge of subject area.</p> <p>Critique and discussion evident of findings: conclusions, implications and significance.</p> <p>A good level of reflection & evaluation evident.</p> <p>A good articulation of the significance including limitations, implications and recommendations as appropriate.</p> <p>A good demonstration of originality or innovation in research outcomes.</p>	<p>General implications and significance of findings discussed appropriately.</p> <p>Some reflection & evaluation evident.</p> <p>Some articulation of the significance including limitations, implications and recommendations as appropriate.</p> <p>Some demonstration of originality or innovation in research outcomes.</p>

Processing of Examiners' Reports

All examiners' reports are treated as strictly confidential. The University Postgraduate Centre (thesis)/faculty postgraduate office (dissertation) will forward copies of the reports when all have been received, to the appropriate examination board for consideration.

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 University Postgraduate Centre (for a thesis) or faculty postgraduate office, or delegate, (for a dissertation) arranges for payment of the honorarium if applicable. Honoraria are not normally paid to examiners in the wider university community.

Examiner Recommendations

There are a number of possible outcomes from the examination process, and the examiners are required to identify the one they recommend as the most appropriate for the student.

The outcomes are:

- **That the student be granted the following pass grade for the thesis/dissertation;**
- **That the student be granted the following pass grade for the thesis/dissertation subject to the student making editorial amendments (as identified by the examiners) to the satisfaction of the supervisors and the Associate Dean (Postgraduate) or delegated authority;**

Such amendments are to be made to all copies of the thesis/dissertation. The student will be advised what amendments are necessary by the primary supervisor. The normal timeframe for the completion of amendments is six weeks. When these have been completed to the satisfaction of the Associate Dean (Postgraduate) (or delegated authority) and the supervisors, the Associate Dean (Postgraduate) will advise the faculty postgraduate examination board or University Postgraduate Centre that all the corrections have been completed satisfactorily;

- **That the student be granted the following pass grade for the thesis/dissertation subject to the student making amendments (as identified by the examiners) to the satisfaction of the supervisors and the Associate Dean (Postgraduate) or delegated authority;**

Such amendments are to be made to all copies of the thesis/dissertation. The student will be advised what amendments are necessary by the primary supervisor. The normal timeframe for the completion of amendments is six weeks. When these have been completed to the satisfaction of the Associate

Dean (Postgraduate) (or delegated authority) and the supervisors, the Associate Dean (Postgraduate) will advise the faculty postgraduate examination board or University Postgraduate Centre that all the corrections have been completed satisfactorily;

- **That the student be required to revise and re-submit for further examination within a specified time;**

The student will be required to re-enrol and must submit revised copies of the thesis/dissertation in the same manner as for the first examination. The timeframe for revisions will be discussed and agreed on by the supervisor and student. At the discretion of the faculty postgraduate examination board, the revised thesis/dissertation may be sent by the appropriate office to those examiners who wished to re-examine the thesis/dissertation. Where an original dissenting examiner declines to re-examine the thesis/dissertation, another examiner will be appointed;

Students will be permitted to submit their thesis/dissertation for re-examination only once, and this will only be allowed at the discretion of the faculty postgraduate examination board. The forms of re-examination which are allowed include:

- the thesis/dissertation to be re-examined after revision;
- the holding of a different form of examination to test the student's knowledge.

The student would normally not be eligible for the award of Honours.

- **That the student be granted a fail grade for the thesis/dissertation.**

In this situation the thesis/dissertation cannot be re-submitted for the same degree. Where it is recommended that the degree not be awarded, and no re-examination be permitted, the examiners should prepare an agreed statement of deficiencies of the thesis/dissertation, and the reason for their decision, which can be forwarded to the student by the University Postgraduate Board or faculty postgraduate examination board.

Where recommendations and reports are unanimous or represent a grade difference of two grade points (e.g. B-, B+) the Faculty Postgraduate Examination Board determines the outcome.

Where the recommendations differ more than two grade points, the Faculty Postgraduate 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 Director Postgraduate Studies; or
 - accept a majority recommendation (where the majority includes external examiner recommendations)

Appointment of a moderator

For the Postgraduate Examination Board to appoint a moderator they must ensure the moderator has:

- a doctoral qualification
- demonstrate 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 page 69 and page 70 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.

Faculty Recommendations

On receipt of the examiners' reports, the Faculty 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.

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. Once the amendments have been made, it is the primary supervisor's responsibility to complete the PG8 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 to this may be negotiated at the student's request.

Form PG8 - Amendments to Thesis as required by Examiners

Release of Examination Outcome

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 determination of the faculty postgraduate examination board (granting of qualification or re-submission) will be conveyed in writing to the student by the programme leader.

Release of Examiners' Reports

It is the policy of the University that the faculty postgraduate office will normally give students 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 are able to view the examiners' reports once they have been received by the faculty postgraduate examination board.

It is not the policy of the University that examiners' of master's theses and dissertations will receive a copy of the other examiners reports, or notification of the final grade. Should an examiner request this information, it would be at the Faculty's discretion as to which examiners' reports could be released and to ensure the examiners' identity is not revealed.

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 will be passed on to the student after the examination process is complete.

AWARD OF HONOURS AND DISTINCTION

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 re-submit 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. 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 University Postgraduate Centre, 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 A grade range.

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 a B+ grade point average.

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 a grade 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, (1st class), (2:1), (2:2). 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. In establishing the award of distinction or merit all grades for papers will be taken into account.

The University Postgraduate Centre, under delegated authority from the University Postgraduate Board, upon the recommendation of the examination board, confirms whether distinction or merit will be granted.

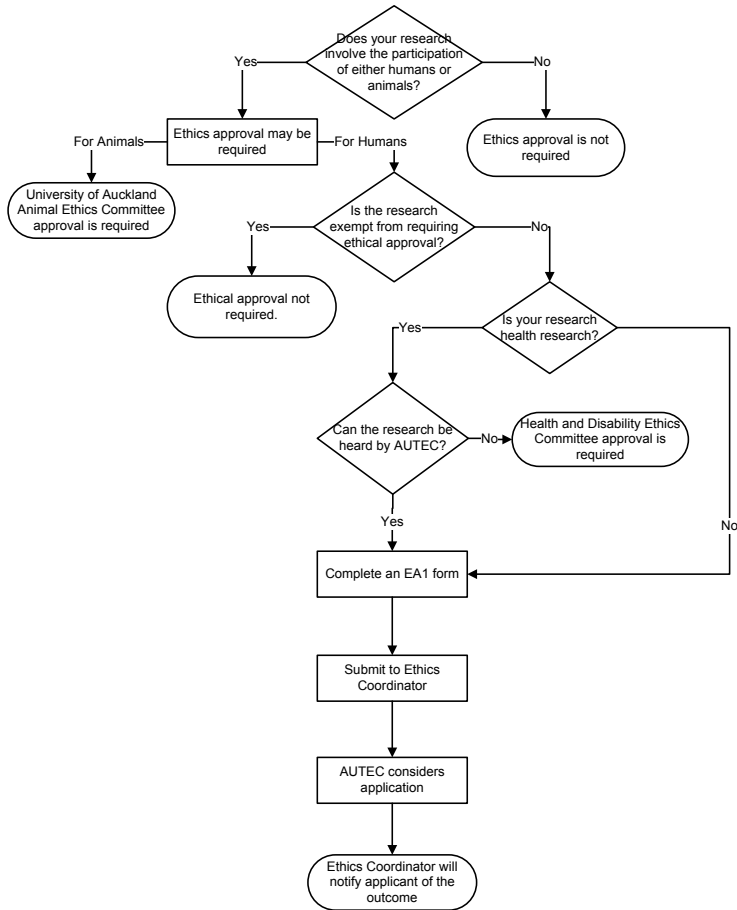
Distinction

The degree will be awarded with distinction where overall achievement falls within the A grade range.

Merit

The degree will be awarded with merit where overall achievement is a B+ grade point average.

Ethics Application Approval Process



Note: It is essential to refer to the AUT Ethics Knowledge Base which can be accessed via www.aut.ac.nz/research/research-ethics for full details regarding the Ethics Approval process.

AUTECH – Auckland University of Technology Ethics Committee

EA1 - Application for Ethics Approval form

RESEARCH SUPERVISION

Doctoral Degrees

- research for a doctoral thesis requires a minimum of two supervisors;
- one supervisor acts as the first or primary supervisor with responsibility for candidate 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 candidates 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 candidate;
- 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 (for both Doctoral and Masters supervisory team):

- must normally have supervised a doctoral candidate to successful completion and /or provide evidence of considerable experience as a successful supervisor;
- must be familiar (or had experience) with the processes involved in ensuring a successful completion at AUT;
- must be broadly working in the area of the research;
- must meet with the supervisory team on a regular basis to ensure that supervision is within the code of practice;
- must have recent evidence of national and international recognition through publications, exhibition, peer esteem, professional contribution or their equivalent;
- could be appointed as a 3rd supervisor.

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

- admission Application and Research Proposal (PG1;D1 or D2);
- supervision agreement
- full research Proposal (D9) for confirmation of Doctoral candidature (for doctoral candidates);
- submission and readiness of the thesis/dissertation to be lodged for examination (PG5 or D12).

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

The UPC will in future write to the supervisory team and outline the responsibilities of the mentor and or experienced second supervisor when a new candidature is approved to a supervisor who is inexperienced in Doctoral and /or Masters supervisions.

Master's Degrees

Supervisors:

- 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 candidates to the successful completion of a master's thesis/dissertation;
- 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 Supervision

Research for a master's thesis/dissertation 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.

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 University Postgraduate Centre. 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/Deputy 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. See "Appendix C: Supervision Agreements" on page 134.

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 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 supervisory team;
- the responsibility for guiding the candidate 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 and provide correct copies of theses/dissertations for examination and completion as laid out in the Postgraduate Handbook;
- 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 (eg 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 (either 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;

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- 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.

For Supervisor Responsibilities regarding Ethical Processes, please refer to Academic Responsibilities of Supervisors.

Supervisor Absence and Sabbatical Leave

If a 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. 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/Deputy Dean Postgraduate and be approved through the appropriate Faculty Postgraduate Committee.

Responsibilities of the Associate Dean (Postgraduate) or delegated academic authority for all research students

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

- the approval of a student's proposal (PG1 or D1/2 or D9);
- overseeing of all of academic supervision;
- monitoring progress of students undertaking theses or dissertations;
- submitting to the faculty postgraduate committee research proposals and recommendations for approval of supervisors and the research proposal;
- 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 the faculty and submitting a proposal to the faculty 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 supervisor 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 supervisor 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.

For Student Responsibilities regarding Ethical Processes, please refer to page 88 Student Responsibilities.

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/Deputy 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.

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 supervisor 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. at a PG1 and D1 and a D9 for professional doctorates). Without this evidence the proposal will not be approved. During candidature this agreement can be renegotiated by all parties. See "Appendix C: Supervision Agreements" on page 134. Copies are available on the PGMe website:

<https://autonline.aut.ac.nz/webapps/portal>

Staff Development for Supervisors

All AUT postgraduate research supervisors are expected to attend pre-supervision seminars and supervisor 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 80)

The University's Postgraduate Centre facilitates pre-supervision seminars and assists with ongoing professional development for research supervisors. In order to be approved for the AUT Supervisors register, all supervisors must attend a pre-supervision (Introduction to supervision at AUT) workshop, facilitated by the University Postgraduate Centre, on AUT processes and procedures for supervising research students.

Where external supervisors are appointed, it is the responsibility of individual faculty postgraduate committees to ensure that programme leaders or Associate Deans (Postgraduate) have procedures in place so that external supervisors are familiar with the University and programme regulations and expectations for thesis/dissertation supervision. In order to facilitate this the University Postgraduate Board has approved an information package for supervision to be sent to these supervisors by the Faculties.

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/monitoring group of collegial 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.

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;
 - role in the ethical approval process;
 - providing feedback to students.

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. The following information is for your guidance and should be checked with the Ethics Knowledge Base for currency.

<http://www.aut.ac.nz/research/research-ethics/ethics>

AUTEC Meetings

For 2012, AUTEC will meet twice every month. The EA1 Application Form is currently under review. Once finalised, the revised version will be added to the Ethics Knowledge Base.

Details of the meeting and agenda closure dates are listed on page 150.

Students and supervisors are advised that the closure dates are strictly observed and incomplete or late applications will not be included in the agenda.

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 their proposed activity. Nevertheless, to ensure consistency and impartiality in considering the interests of potential participants, as well as to provide a degree of protection for the researcher or lecturer, it is important that certain categories of research and teaching activities be approved in accordance with the Ethical Principles Governing Research at AUT, before the research or teaching is undertaken. Approval by an accredited Ethics Committee is also a requirement for many funding agencies and for publication. AUTEC is an ethics committee accredited by the Health Research Council. In certain circumstances ethics applications will need to be submitted to a regional committee. Information on these requirements is located on the AUTEC knowledge base.

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 prior to commencement.

Whether they are lecturers or students, all members of the University whose teaching or research involves human participants or human tissue or otherwise affects people's privacy, rights and freedoms, are required to consider whether their work requires ethics approval in accordance with the Ethical Principles Governing Research at AUT. If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the matter with a member of AUTEC.

Animal Ethics

It is the policy of the University that teaching staff or student research involving animals must receive ethical approval from the University of Auckland Animal Ethics Committee prior to commencement of the research. In accordance with the Memorandum of Understanding, there will be a charge levied for this service which is payable by the Department or School. Please consult with your supervisor.

<http://www.health.auckland.ac.nz/research/ethics/animal/>

Ethical Principles Governing Research at AUT

AUTEC is guided by the following key principles in considering applications for ethical approval. The implications of these principles may differ for various types and areas of research and teaching.

Key Principles:

- Informed and voluntary consent;
- Respect for rights of privacy and confidentiality;
- Minimisation of risk;
- Truthfulness, including limitation of deception;
- Social and cultural sensitivity, including commitment to the principles of the Treaty of Waitangi;
- Research adequacy;
- Avoidance of conflict of interest.

Other Relevant Principles:

- Respect for vulnerability of some participants;
- Respect for property (including University property and intellectual property rights).

See “Appendix D: Ethical Principles” on page 141 for further explanation of each of these principles.

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 forms for 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 AUTEK for approval prior to implementation of the change;
 - ensure AUTEK is provided with the required progress and completion reports.

Students' Responsibilities:

- fully discuss any research involving human participants with their supervisor;
- become cognisant of AUTEK 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 AUTEK 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 AUTEK feedback as appropriate in consultation with their supervisor;
- to 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 AUTEK for approval prior to implementation of the change and to prepare the required progress and completion reports;

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. AUTEK requires researchers 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.

RESEARCH AT AUT

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, personal or financial relationship with the student?
- Do you have any familial, 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?

If you are uncertain about whether any relationship constitutes a conflict of interest, please contact your Head of School (HOS) or Associate Dean (Postgraduate) (AD(P)).

A conflict should be managed on a case-by-case basis by the HOS/AD(P).

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, in this instance HOS, as soon as reasonably possible if an actual, perceived or potential conflict of interest arises.

It is the responsibility of the manager (HOS/AD(P)) 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 HOS or Associate Dean (Postgraduate).

Confidential Material

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), University Postgraduate Centre staff and student. 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 Thesis/Dissertation Research Proposal form (D1 or PG1) in consultation with the primary supervisor.

Where issues of confidentiality arise after approval of the research by the faculty postgraduate committee, an Application for Restricted Access Form (D18 or PG18) must be submitted to the faculty postgraduate committee for approval.

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

In circumstances of confidentiality, 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.

Form PG18 - Restricted Access to a Master's Thesis/Dissertation/Exegesis
Form D18 - Restricted Access to a Thesis

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.

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 Vancouver Protocol can be located at <http://www.icmje.org/> and the Australian Code for the Responsible Conduct of Research at <http://www.nhmrc.gov.au/publications/synopses/r39syn.htm>.

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 Property¹

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

1 AUT's Intellectual Property Rights Policy can be found on the AUT Website:
<https://thewire.aut.ac.nz/policies-and-statutes>

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 and also 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. 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, and so on.) these other parties may also have some rights to the IP. The University's IP Policy recognises this by bringing together the interested parties to come to 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.

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 University Research Office for approval before signing.

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. 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).

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 “Appendix A: Programme Regulations” on page 122.

Doctoral theses are at Level 10. A PhD thesis normally equates to a period of three to four years of full-time work. The thesis for a professional doctorate normally equates to a period of two to three years of full-time 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 where this is requested. 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 www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/submitting-work,-exams-and-academic-records.

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.

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.

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-Based Component²

Where programme regulations allow, a thesis may incorporate practice-based work. In such situations the relationship between all thesis components should be defined in the thesis proposal, including the approximate proportional weighting. Indication of scale should be given in a manner appropriate to the nature of the component (e.g. anticipated word length for written component). Thesis components are not assessed separately, but are considered together as integral parts of the overall thesis.

2 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.

Where the thesis is substantially practice-based, the work should be accompanied by an exegesis. The exegesis relates directly to the practice-based 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. The final bound exegesis should include documentation of both developmental work and the final thesis presentation (for example, indexed documentation of images, sound etc.). The maximum weighting for practice-based work is 80% with the exegesis counting for 20% of the thesis. In the situation where an exegesis constituting 20% of the overall thesis is substantially written, the size is generally 8000 to 10,000 words with 6,000 words as a minimum at Master's level, and 40,000 to 50,000 words with 30,000 words minimum at doctoral level, 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-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 thesis presentation. In the context of doctoral degrees, the viva is an examination.

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 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

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. This generally requires a minimum of 6000 words. Students should consult with their supervisor.

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. Proofreading guidelines are available on the PGMe website.

<https://autonline.aut.ac.nz/webapps/portal>

Some faculties hold lists of preferred proofreaders. Please contact your faculty postgraduate office directly.

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, and so on, should be used. Students should seek the advice of their primary supervisor in all such cases.

Creative Work (Exhibition/Performance)

Where the thesis/dissertation involves creative work (as for the MA&D or MHSc), 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.

Form PG4 - Appointment of Examiners

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.

Thesis/Exegesis

Three copies of the thesis/exegesis (four for doctoral theses) are to be lodged with the primary supervisor, approved for submission by the Faculty Associate Dean Postgraduate (or delegated authority) and forwarded to the University Postgraduate Centre for examination.

Form D12 - Lodgement of Thesis for Examination (Doctoral)

Form PG5 - Lodgement of Thesis/Dissertation for Examination

Dissertation

Three copies of the dissertation are to be lodged with the primary supervisor, for approval for submission by the programme leader and forwarded to the faculty postgraduate office for examination.

Form PG5 - Lodgement of Thesis/Dissertation for Examination

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.

Typing

Font size: 12 point

Typing is to be on one side of each sheet only, 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.

The following minimal margins are to be observed:

- left - 4 cm
- top and bottom - 2 cm
- right - 2 cm

Thesis/Dissertation/Exegesis Structure

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 candidate'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:

Thesis is presented in the traditional thesis structure.

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

The required format and presentation are outlined below.

Pathway Two:

Thesis presentation includes adapting thesis chapters into papers.

The purpose of this pathway is to encourage students to prepare manuscripts for submission to peer review journals. In the event that the manuscripts have been accepted by the journal for publication then the 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 for Pathway One.

Please note: Research that has been published or accepted for publication, does not ensure a pass in a doctoral degree. Examiners will judge a candidate'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 candidate must obtain written permission to include the published work in the thesis. 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 FAQ on the Scholarly Commons website or contact the Library's Research & Postgraduate Coordinator.

See "Appendix I:Letter seeking permission from publishers/third party copyright material" on page 156.

Pathway Three:

(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, e.g.:

-
- 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 to 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 6000 words for a Bachelor (Hons) or 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 remainder of the presentation comprises an exhibition of creative work.

Thesis/Dissertation/Exegesis Layout

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

1. Title page

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

- Candidate's name
- Full title of the thesis/dissertation/exegesis
- Year of lodgement (this should be the date³ the research was submitted for examination)
- School, Division or Department
- The lodgement statement appropriate to the degree:

For PhD and MPhil:

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

³ If the research has been resubmitted for examination, then it would be this date that is recorded.

For 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

A sample title page is included in "Appendix H: Cover/Title Page Specifications" on page 153.

2. 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.

3. 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 and so on. Figures should be formatted according to APA style or other approved reference style.

4. 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.

5. Attestation of Authorship

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

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

6. Co-Authored Works

Where the thesis contains jointly authored research papers, case studies and/or any other work published or unpublished the candidate should be the principal author and a declaration is required to state the extent to which the jointly authored material is the candidate's own work. This declaration should include the signatures and percentage contributions of all co-authors. (Refer also to the section on Ethical Principles on page 141)

7. 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.

8. 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 candidate, 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.

9. Ethical 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.

10. 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. (Refer also to the section on Ethical Principles on page 141)

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

The Application for Restricted Access Form (PG18/D18) must be bound into all copies being lodged for examination and all final bound copies.

11. 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.

12. Chapters

Chapter formats may differ for various disciplines (check with your supervisor). There are three approaches to the structure of the thesis/dissertation dependent on whether Pathway 1, Pathway 2 or Pathway 3 are used.

Exemplar Pathway One chapter format:

Introduction
Literature review
Research design
Data
Discussion
Conclusions/implications (including areas identified for further research and limitations).

Exemplar Pathway Two chapter format:

Theses based on publications must have an appropriate introduction, including research objectives, and a comprehensive conclusion which clearly identifies the original contribution to the knowledge of the subject area with which it deals. The introduction should 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 read as a cohesive whole and indicate the new contributions to knowledge. A possible structure may be:

Introduction

Study 1

Introduction
Literature review
Research design
Data
Discussion

Study 2

Introduction
Literature review
Research design
Data
Discussion

Study 3

Introduction
Literature review
Research design
Data
Discussion

Discussion/Conclusions

References

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

13. References

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

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

14. 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.

15. 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.

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. See “Appendix I: Letter seeking permission from publishers/third party copyright material” on page 156.

Deposit Form

This is the D15 form for doctoral theses and PG6/PG9 for master's or bachelor with honours theses/dissertations. The form should be bound into the final bound copy of the thesis/dissertation 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.

Form D15 - Deposit of thesis/exegesis in the AUT Library

Form PG6 - Deposit in the AUT Library

Form PG9 - Deposit B(Hons) in the AUT Library

POST-EXAMINATION BINDING AND DEPOSIT OF THESES, DISSERTATIONS AND EXEGESES

Masters and Doctoral Degrees

When the faculty postgraduate committee or University Postgraduate Board has approved that the degree be awarded, the candidate must deposit three (3) corrected, bound copies of the thesis/dissertation/exegesis with the University Postgraduate Centre. At least one of the bound copies of the thesis/dissertation or exegesis should be printed on acid free paper for permanent storage in the Library. Where a master's dissertation is /less than 60 points students may provide their supervisor with a spiral bound copy or an electronic copy and only two hard bound copies would be required for the Faculty and the Library.

The thesis/dissertation/exegesis must be accompanied by a completed 'Deposit of Thesis/Dissertation/Exegesis in the Auckland University of Technology Library' form.

Form D15 - Deposit of Thesis/Exegesis in AUT Library Form
Form PG6 - Master's Deposit Form

This form should be completed, **printed on acid free paper** and bound into the front of the Library copy of the thesis/dissertation/exegesis.

In addition, a digital copy must be deposited online (see "Digital Theses/Dissertations" on page 108).

The above requirements must be met before the candidate will be eligible to graduate.

Where the thesis/dissertation is primarily a creative work, the candidate should submit three copies of permanent documentary evidence of the thesis/dissertation and three copies of a supporting written exegesis. Documentary evidence may be formatted as a DVD, video (VHS or SVHS), a slide portfolio, a CD-ROM or a comprehensive printed catalogue.

Where the thesis/dissertation/exegesis contains confidential material, this will normally be provided in a separate annex. Only one annex should be provided for storage in the University Library.

The University Postgraduate Centre is responsible for the distribution of the thesis/dissertation/exegesis:

- one copy will be deposited in the University Library
- one copy will be presented to the relevant faculty
- one copy will be presented to the primary supervisor.

Bachelor's Degrees with Honours

For bachelor's degrees with honours, only two (2) bound copies are required since these dissertations are not routinely collected by the Library. However, a faculty may

recommend an exceptional dissertation be included in the Library. In such a case, the faculty postgraduate office will arrange for an additional bound copy and a digital copy to be provided at the faculty's expense and the PG9 form, signed by the student and the Faculty, should be bound into the third copy of the dissertation. The digital copy of the faculty-recommended Bachelor with Honours dissertation should be supplied on a CD at the back of the dissertation and must be emailed to scommon@aut.ac.nz. It will then be made available online via the Library Catalogue but not via ScholarlyCommons@AUT. Any queries about the AUT Library's requirements for faculty-recommended Bachelor with Honours dissertations may be directed to the Research and Postgraduate Coordinator, Robyn Ramage (Contact details are listed on page 119).

PG9 - Recommendation for Deposit of Bachelor with Honours Dissertation/Exegesis in the Auckland University of Technology Library.

Emargoed Theses and Dissertations

A thesis/dissertation/exegesis for which an embargo has been approved at the time of lodgement for examination, must still be deposited with the University Postgraduate Centre. The signed approval form must be inserted in the front of each bound copy. The Library copy will be housed securely in the Archive until the embargo expires.

Form D18 - Application for Restricted Access to a Thesis

Form PG18 - Restricted Access to a Master's Thesis/Dissertation/Exegesis

Digital Theses /Dissertations

A digital copy of the theses/dissertation or exegesis is to be deposited online by the student for inclusion in AUT University's open access digital repository, ScholarlyCommons@AUT, as well as the Library catalogue. Any textual component of a creative work should also be deposited on Scholarly Commons. Full details of this procedure are given on the repository website.

<http://aut.researchgateway.ac.nz>

If an embargo or other access restriction has been approved, a digital copy of the thesis/dissertation or exegesis must still be deposited. However, the Scholarly Commons Administrator will ensure that it is not released to the digital repository until the restriction has expired. Where appropriate, an embargo can be applied separately to the creative work, i.e. not to the supporting exegesis.

For technical assistance email the ScholarlyCommons Administrator, scommon@aut.ac.nz.

Binding Specifications

Theses/dissertations/exegesises are full bound in cloth or buckram.

The student is responsible for the cost of binding. The University provider for printing is PrintSprint: www.printsprint.co.nz or phone 921 9999, ext. 9244.

Front Cover

The front cover of the thesis/dissertation/exegesis must contain the following elements:

- Candidate's full name
- Full title of the thesis/dissertation
- Abbreviated degree (please see "Appendix G: Qualification Listing" on page 151 for a listing.)
- Year of lodgement for examination⁴

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 gold lettering of a suitable size:

- Candidate'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.

A sample front cover and spine are included in "Appendix H: Cover/Title Page Specifications" on page 153. A listing of approved degree abbreviations can be found in "Appendix G: Qualification Listing" on page 151.

⁴ If the research has been resubmitted for examination, then it would be this date that is recorded.

GRADUATION

Council Approval

The Academic Registrar recommends approval for the conferring of postgraduate qualifications to those students who have fulfilled all requirements to Council.

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

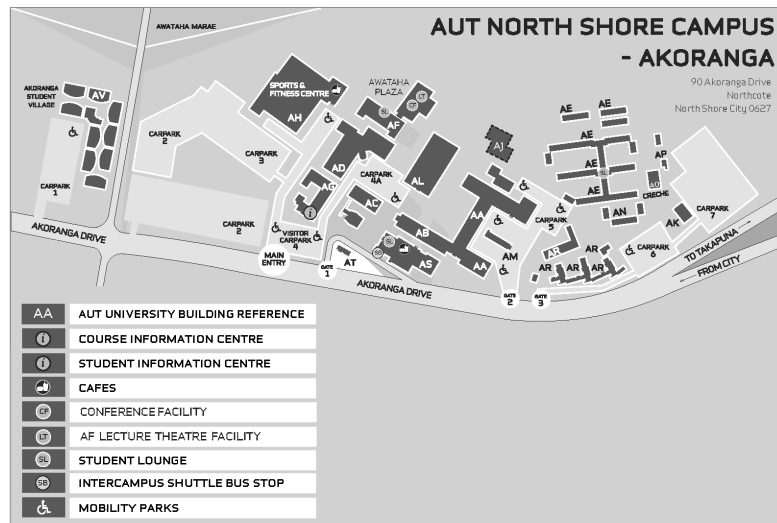
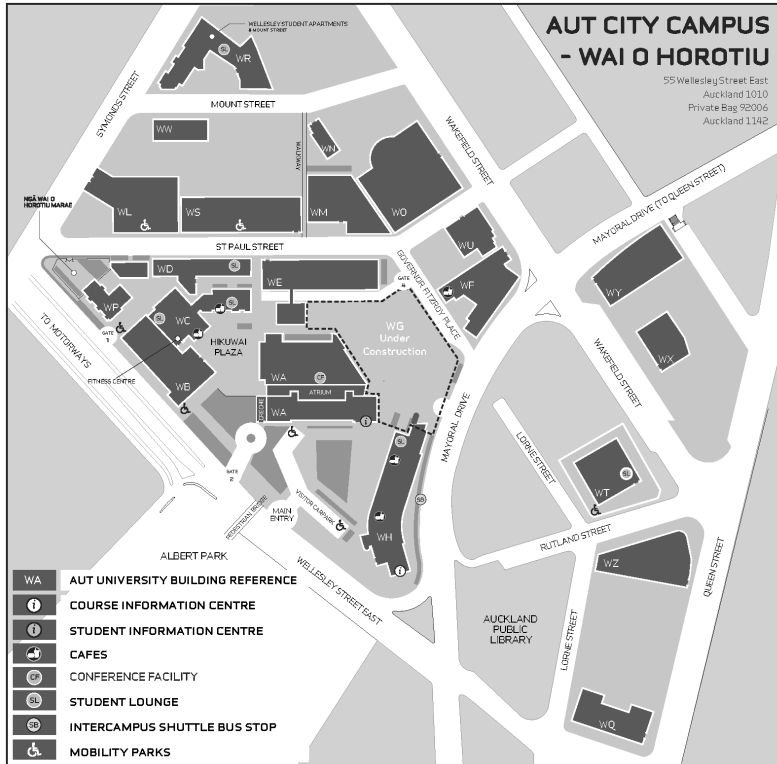
Once a qualification has been conferred, a graduate may use the qualification abbreviation after their name.

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

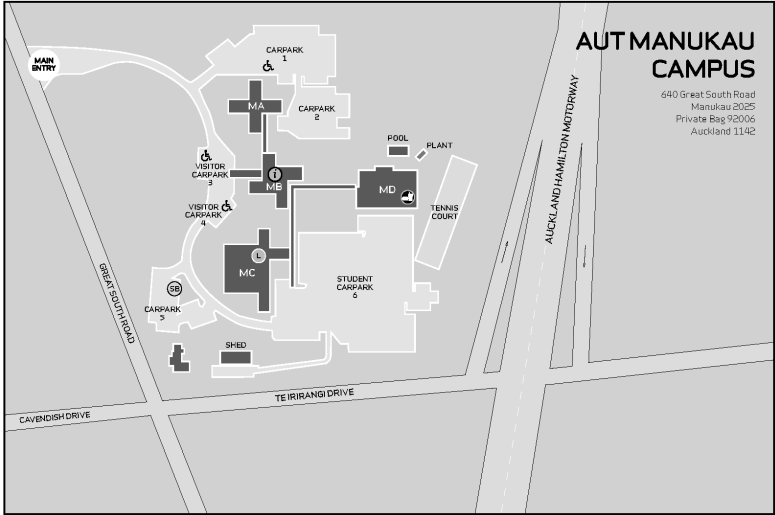
A list of formal abbreviations for postgraduate programmes can be found on page 151.

Doctoral Graduands' Academic Dress Hire

The University Postgraduate Centre 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



University Postgraduate Centre (UPC)

AUT, City Campus
Ph: 9-921-9907
Email: postgraduate.centre@aut.ac.nz

Dean of Postgraduate Studies	Associate Professor Marion Jones, ext. 6545 Email: marion.jones@aut.ac.nz
Director of Postgraduate Studies	Madeline Banda, ext. 8044 Email: madeline.banda@aut.ac.nz
Executive Administrator/Research Assistant	Rozelle Edwards, ext. 8094 Email: rozelle.edwards@aut.ac.nz
Manager, University Postgraduate Centre	Martin Wilson, ext. 8812 Email: martin.wilson@aut.ac.nz
Postgraduate Education Research Leader	Dr Jennie Billot, ext. 9694 Email: jennie.billot@aut.ac.nz
Senior Advisor PG & Research Scholarships	Philippa Hay, ext. 6890 Email: philippa.hay@aut.ac.nz
Senior University Postgraduate Officer	Annette Tiaiti, ext. 8371 Email: annette.tiaiti@aut.ac.nz
University Postgraduate Officer	Donna Channings, ext. 8366 Email: donna.channings@aut.ac.nz
University Postgraduate Officer (Examinations)	Jan Singhapan, ext. 9917 Email: jan.singhapan@aut.ac.nz

Faculty Contacts

Faculty of Applied Humanities

Programme Doctor of Philosophy Master of Philosophy	Deputy Dean (Research and Postgraduate) Dr Sharon Harvey, ext. 9659 Email: sharon.harvey@aut.ac.nz
Doctoral Administrator (Doctor of Philosophy and Master of Philosophy)	Sarah Lee, ext. 8481 Email: sarah.lee@aut.ac.nz
Postgraduate Administrator	Eddy van de Pol, ext. 6725 Email: eddy.vandepol@aut.ac.nz
School of Language and Culture	
Programme Master of Adult Literacy and Numeracy Education	Programme Leader Dr Pat Strauss, ext. 6847 Email: pat.strauss@aut.ac.nz Kevin Roach, ext. 6050 Email: kevin.roach@aut.ac.nz

Master of Arts (Applied Language Studies) Dr Lynn Grant, ext. 6826
Postgraduate Diploma in Arts Email: lynn.grant@aut.ac.nz
Postgraduate Certificate in Arts Clare Conway, ext. 6000
Bachelor of Arts (Honours) - Applied Language Studies Email: clare.conway@aut.ac.nz

Master of Creative Writing Dr Paul Mountfort, ext. 6620
Email: paul.mountfort@aut.ac.nz

Master of Professional Language Studies - Clare Conway, ext. 6000
Language Teaching Email: clare.conway@aut.ac.nz

School of Social Sciences

Programme

Master of Arts
Human Services
Policy Studies
Social Sciences
Conflict Resolution
Bachelor of Arts (Honours)
Applied Language Studies
Social Sciences
Postgraduate Diploma in Arts
Postgraduate Certificate in Arts

Programme Leader

Prof. Charles Crothers, ext. 8468
Email: charles.crothers@aut.ac.nz

School of Education

Programme

Doctor of Education
Master of Educational Leadership
Master of Education
Bachelor of Arts (Honours) - Education
Postgraduate Diploma in Education

Programme Leader

Dr Philippa Gerbic, ext. 9825
Email: philippa.gerbic@aut.ac.nz

Master of Career Development Dr Dale Furbish, ext. 5557
Email: dale.furbish@aut.ac.nz

School of Hospitality and Tourism

Programme

Master of Tourism Studies
Postgraduate Diploma in Tourism Studies

Programme Leader

Dr Hamish Bremner, ext. 5898
Email: hamish.bremner@aut.ac.nz

Master of International Hospitality Management Warren Goodsir, ext. 8374
Postgraduate Diploma in International Hospitality Management Email: warren.goodsir@aut.ac.nz
Postgraduate Certificate in International Hospitality Management

Faculty of Business and Law

Programme

Doctor of Philosophy
Master of Philosophy
Master of Business
Master of Professional Accounting
Master of Professional Business Studies
Postgraduate Diploma in Business
Postgraduate Certificate in Business
Bachelor of Business with Honours

Master of Business Administration (MBA)

Postgraduate Manager

Associate Dean (Postgraduate)

Professor Bill Doolin, ext 5807
Email: bill.doolin@aut.ac.nz

Associate Dean (Postgraduate Students)

Dr Andy Godfrey, ext. 9846
Email: andy.godfrey@aut.ac.nz

Director MBA

Ken Lee, ext. 9216
Email: ken.lee@aut.ac.nz

Eathar Abdul-Ghani, ext. 9619

Email: eathar.abdul-ghani@aut.ac.nz

Faculty of Design and Creative Technologies

Associate Dean (Postgraduate Studies)

Dr Rosser Johnson, ext. 7818
Email: rosser.johnson@aut.ac.nz

Assistant Registrar (Postgraduate)

Angela Anderson, ext. 8189
Email: angela.anderson@aut.ac.nz

School of Art and Design

Programme

Doctor of Philosophy
Doctor of Design
Master of Philosophy
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)

Head of Postgraduate Studies

Sue Gallagher, ext. 8357
Email: sue.gallagher@aut.ac.nz

Programme Administrator

Champa De, ext. 8090
Email: champa.de@aut.ac.nz

School of Communication Studies

Programme

Doctor of Philosophy
Master of Philosophy

Head of Postgraduate Studies

Dr Frances Nelson, ext. 7860
Email: frances.nelson@aut.ac.nz

Master of Communication Studies
Postgraduate Diploma in Communication Studies

Gudrun Frommherz, ext. 7394

Email: gudrun.frommherz@aut.ac.nz

Bachelor of Communication Studies (Honours)

Programme Administrator (Masters and Honours) Jessie Hsu, ext. 6283
Email: jessie.hsu@aut.ac.nz

Programme Administrator (Postgraduate Diploma) Mere Kingi, ext. 6563
Email: mere.kingi@aut.ac.nz

School of Computing and Mathematical Sciences

Programme

Doctor of Philosophy
Master of Philosophy

Head of Postgraduate Studies

Dr Russell Pears, ext 5344
Email: russell.pears@aut.ac.nz

Master of Computer and Information Sciences
Postgraduate Diploma in Computer and Information Sciences
Postgraduate Certificate in Computer and Information Sciences
Bachelor of Computer and Information Sciences (Honours)

Shoba Tegginmath, ext 5828

Email: shoba.tegginmath@aut.ac.nz

Master of Forensic Information Technology

Dr Brian Cusack, ext. 5208
Email: brian.cusack@aut.ac.nz

Bachelor of Sciences (Honours)

Dr Alla Shymanska, ext. 8451
Email: alla.shymanska@aut.ac.nz

Programme Administrator (PhD, MPhil, Master's, Bachelor of Mathematical Sciences (Honours))

Karishma Bhat, ext. 9895
Email: karishma.bhat@aut.ac.nz

Programme Administrator (MFIT, MCIS, PG Dip CIS, PG Cert CIS, BCIS (Hons))

Fay Fang, ext. 8432
Email: fay.fang@aut.ac.nz

School of Engineering

Programme

Doctor of Philosophy
Master of Philosophy
Master of Engineering
Master of Engineering Studies
Master of Construction Management
Master of Engineering Project Management
Postgraduate Diploma in Engineering
Postgraduate Certificate in Engineering

Head of Postgraduate Studies

Associate Zhan Chen, ext. 8737
Email: zhan.chen@aut.ac.nz

Programme Administrator

Armida Pobre, ext. 9871
Email: armida.pobre@aut.ac.nz

Interdisciplinary Unit

Programme

Doctor of Philosophy
Master of Philosophy
Master of Creative Technologies
Bachelor of Creative Technologies (Honours)

Director

Associate Professor Charles Walker, ext. 9409
Email: charles.walker@aut.ac.nz

Programme Administrator

Angela Anderson, ext. 8189
Email: angela.anderson@aut.ac.nz

Faculty of Health and Environmental Sciences

Programme

Doctor of Philosophy
Doctor of Health Science
Master of Philosophy
Master of Applied Science
Master of Health Practice
Master of Health Science
Postgraduate Diploma in Applied Science
Postgraduate Diploma in Counselling
Psychology
Postgraduate Diploma in Health Science
Postgraduate Certificate in Advanced Nursing
Practice
Postgraduate Certificate in Health Science
Bachelor of Health Science (Honours)
Bachelor of Health Science (Honours) in
Psychology
Bachelor of Applied Science (Honours)

Associate Dean (Postgraduate)

Dr Erica Hinckson, ext 7224
Email: erica.hinckson@aut.ac.nz

Programme Administrator (Coursework)

Stephanie Gregory, ext. 7877
Email: stephanie.gregory@aut.ac.nz

Programme Administrator (Returning Students)

Leanne Meikle, ext 9732
Email: leanne.meikle@aut.ac.nz

Postgraduate Programme Leader

Dr Grant Gillon, ext 7811
Email: grant.gillon@aut.ac.nz

Executive Administrator

Lisa Herd, ext. 7020
Email: lisa.herd@aut.ac.nz

Faculty of Te Ara Poutama

Programme

Doctor of Philosophy
Master of Philosophy

Programme Leader

Professor Tania Ka'ai, ext. 6601
Email: tania.kaai@aut.ac.nz

Postgraduate Administrator

Programme enquiries
Master of Arts (Māori Development)
Master of Arts (Youth Development)
Master of Arts (Te Reo Māori)
Postgraduate Diploma in Arts
Postgraduate Certificate in Arts

Tania Smith, ext. 6526

Email: tania.smith@aut.ac.nz

Other University Contacts

AUT Ethics Committee (AUTEC)

Chair	Philippa Gerbic, ext. 9825 Email: pgerbic@aut.ac.nz
Ethics Coordinator	Charles Grinter, ext. 8860 Email: ethics@aut.ac.nz Web: www.aut.ac.nz/research/research-ethics/ethics
Associate Coordinator (Ethics)	Erin Moloney, ext. 8316 Email: ethics@aut.ac.nz

Should you have ethical concerns about the conduct of research, then you are advised to contact the Executive Secretary of AUTEC.

Executive Secretary of AUTEC	Rosemary Godbold, ext 6902 or 7772 Email: rosemary.godbold@aut.ac.nz
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Internet and online chat: <http://www.aut.ac.nz/research/research-ethics/ethics>

Information about the AUTEC Faculty Representatives is available in the Ethics Knowledge Base through www.aut.ac.nz/research/research-ethics/ethics

Faculty Representatives on AUT Ethics Committee:

Faculty of Applied Humanities	Dr Antje Deckert, ext. 6852
Faculty of Business	Dr Mark Glynn, ext 5813
Faculty of Design and Creative Technologies	Professor Barry King, ext. 9626
Faculty of Health and Environmental Sciences	Dr Tineke Water, ext. 7335
Te Ara Poutama	Dr Teorongonui (Josie) Keelan, ext. 6104

University Research Office

Pro-Vice Chancellor (Research)	Professor Richard Bedford, ext 9447 Email: richard.bedford@aut.ac.nz
Director of Research	Dr Ellen Forch, ext. 9257 Email: ellen.forch@aut.ac.nz Web: www.aut.ac.nz/research
Assistant Director Research	Filomena Davies, ext. 9727 Email: filomena.davies@aut.ac.nz
Manager, Commercial Research	Dr Luke Kreig, ext. 9524 Email: luke.kreig@aut.ac.nz
Research Grants & Contracts	Liana de Jong, ext. 8323 Email: liana.dejong@aut.ac.nz

Research Grants & Contracts Kate O'Conner, ext 6038
Email: kate.oconnor@aut.ac.nz

Research Grants & Contracts Emma Kelly, ext 6767
Email: emma.kelly@aut.ac.nz

AUT Enterprises Ltd

CEO Kevin Pryor, ext. 9845
Email: kevin.pryor@aut.ac.nz
Web: www.enterprises.aut.ac.nz

Technology Development Manager Fay Kassibawi, ext. 9555
Email: fay.kassibawi@aut.ac.nz

Operations Manager Amber Taylor, ext. 9556
Email: amber.taylor@aut.ac.nz

University Library

WA Building, City Campus
MC Building, Manukau Campus
AL Building, North Shore Campus
Website: www.aut.ac.nz/library

Research and Postgraduate Coordinator Dr Robyn Ramage, ext. 8519
Email: robyn.ramage@aut.ac.nz

Student Services Contacts

Student Centre

WA Level 2, WA Building, City Campus
Monday - Tuesday 8.00am - 5.00pm
Wednesday 9.45am - 5.00pm
Thursday - Friday 8.00am - 5.00pm

AG Building, North Shore Campus
Monday - Tuesday 8.00am - 4.30pm
Wednesday 9.45am - 4.30pm
Thursday - Friday 8.00am - 4.30pm

MB Building, Manukau Campus
Monday - Tuesday 8.00am - 4.30pm
Wednesday 9.45am - 4.30pm
Thursday - Friday 8.00am - 4.30pm

Phone: 921 9779
Web: www.aut.ac.nz/studentinfo/

Accommodation Phone: 921 9779
Web: www.aut.ac.nz/accommodation

Campus Events Email: campusevents@aut.ac.nz
Web: www.aut.ac.nz/events

University Career Services

WB Level 1, City Campus
AS212, AS Building, North Shore Campus

Phone: 080028864
Email: career@aut.ac.nz
Web: www.aut.ac.nz/careerservices

Disability Student Support Services

WB119, WB Building, City Campus
AS208, AS Building, North Shore Campus

Phone: 921 9999 ext. 8262
Phone: 921 9999 ext. 7778
Email: disability.office@aut.ac.nz
Web: www.aut.ac.nz/student_services/disability

Health, Counselling and Wellbeing

WB219, WB Building, City Campus
AS104, AS Building, North Shore Campus

Phone: 921 9992
Phone: 921 9998
Web: www.aut.ac.nz/student_services/health

International Student Support Service (ISSS)

WB135, City Campus
AS207, AS Building, North Shore Campus

Phone: 921 9811
Phone: 921 9643
Email: international.support@aut.ac.nz
Web: www.aut.ac.nz/student_services/international

Pasifika Student Support Service

WB239, WB Building, City Campus
AS207, AS Building, North Shore Campus

Phone: 921 9892
Phone: 921 9164
Web: www.aut.ac.nz/student_services/pasifika

Scholarships Office

WB102, WB Building, City Campus

Phone: 921 9837
Email: scholarships@aut.ac.nz
Web: www.aut.ac.nz/scholarships

Student Advisors

WB Level 1, WB Building, City Campus
AS 209, AS Building, North Shore Campus

Phone: 921 9450
Email: studentadvisors@aut.ac.nz

Student Financial Services

WB112, WB Building, City Campus
AS210, AS Building, North Shore Campus

Phone: 921 9333
Phone: 921 9332
Web: www.aut.ac.nz/student_services/financial

Student Mentors

WB215, WB Building, City Campus

Phone: 921 9999 ext. 8124
Email: studentmentors@aut.ac.nz
Web: www.aut.ac.nz/student_services/student_mentors

Learning Development and Success (Te Tari Āwhina)

WA406, WA Building, City Campus
WA Level 4, WA Building, City Campus
AS215, AS Building, North Shore Campus

Phone: 921 9840
Phone: 921 9999 ext. 8526
Phone: 921 9999 ext. 7755
Web: www.tetariawhina.info

Te Tari Takawaenga Māori - Māori Liaison Services

WB205, WB Building, City Campus
AS211, AS Building, North Shore Campus

Phone: 921 9615

Phone: 921 9798

Web: www.aut.ac.nz/student_services/maori

APPENDIX A: PROGRAMME REGULATIONS

Standard Qualification Regulations for Postgraduate Programmes

Note: These regulations define each type of qualification offered by the University. The definitions in these regulations are based on The New Zealand Register of Quality Assured Qualifications and the Universities New Zealand Functions and Procedures. Specific qualifications are further defined by the individual programme regulations.

Section 1 Doctoral Degrees

1 Character of Doctoral Degrees

- 1.1 The doctorate is a research degree of 360 points at Level 10 that is granted on the basis of an original and substantial contribution to knowledge as judged by independent experts applying contemporary international standards.
- 1.2 Doctorates may be of two types as follows:
 - 1.2.1 Doctor of Philosophy (PhD): the thesis constitutes the entire body of work on which the qualification is judged;
 - 1.2.2 Doctorate in a specified field or discipline (professional doctorate): coursework may contribute to the assessed programme of study, but research and its associated thesis must constitute at least two thirds of the total points required for the qualification.

2 Admission to Doctoral Degrees

- 2.1 Admission shall be subject to the approval of University Postgraduate Board which shall consider recommendations for admission from the faculty postgraduate committee.
- 2.2 Prior to recommending the admission of an applicant the faculty postgraduate committee shall be satisfied that the following requirements have been met:
 - 2.2.1 the applicant has the appropriate qualification;
 - 2.2.2 the proposed programme of research is viable;
 - 2.2.3 the arrangements for supervision are appropriate and able to be sustained
- 2.3 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.
 - 2.3.1 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.

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- 2.3.2 The degree for applicants to the Doctor of Philosophy must also have included advanced learning in research, the execution of a research project and the writing of a report on that research.
 - 2.3.3 An applicant to a professional doctorate must provide evidence of having a minimum of five years' professional experience in their specific area of study.
 - 2.3.4 The admission status will be determined by the University Postgraduate Board as either provisional or confirmed.

3 Time Limits

- 3.1 The total time from first enrolment in a doctoral degree programme until the completion of all requirements must not be less than two years (or four years part-time) and must not exceed six years.
- 3.2 Where a candidate is prevented by ill health or exceptional circumstances from making progress with the research, the University Postgraduate Board may recommend adjournment of registration or an extension to the timeframe for completion in accordance with processes set out in the Postgraduate Handbook.
- 3.3 The University Postgraduate Board may approve the early submission of a thesis for examination under exceptional circumstances.
- 3.4 The University Postgraduate Board may grant an extension of time to a candidate who has not completed the thesis by the end of their period of enrolment.

4 Theses

- 4.1 A thesis is defined as a programme of study in which the candidate's own work forms, as a point of origin or reference, a significant part of the intellectual enquiry of an appropriate topic.
- 4.2 Before beginning work on a thesis the applicant or candidate shall submit a proposal for approval to the University Postgraduate Board.
- 4.3 The University Postgraduate Board approves the appointment of a minimum of two supervisors for theses.
 - 4.3.1 If the supervisor (or where there is more than one, the primary supervisor) is absent for an extended period because of illness, leave or other reasons, either the second supervisor or an appropriately qualified replacement supervisor shall be appointed on the recommendation of the faculty postgraduate committee by the University Postgraduate Board.
 - 4.3.2 In the case of a candidate whose work is not proceeding satisfactorily for reasons outside the student's control, or who does not have an effective working relationship with a supervisor, the programme leader may arrange for a suitably qualified replacement supervisor to be appointed by the University Postgraduate Board.

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- 4.3.3 If a candidate is dissatisfied with the decision of the University Postgraduate Board, the candidate may appeal directly to the Academic Board for a change in supervision arrangements.
 - 4.4 A candidate shall apply to the University Postgraduate Board for permission to undertake research at a location other than the University.
 - 4.4.1 In such circumstances the University Postgraduate Board must be assured that supervision arrangements will be satisfactory for both the University and the candidate and shall appoint an appropriate external supervisor.
 - 4.5 A candidate may apply to the University Postgraduate Board to undertake a part of their research with an approved collaborating establishment, such as an industrial, commercial, professional or research establishment.
 - 4.5.1 Such formal collaboration should normally involve a candidate using facilities and other resources provided jointly by the University and the collaborating establishment(s), and include joint supervision of the candidate.
 - 4.6 When a candidate undertakes a thesis for which the principal focus is the preparation of a scholarly edition of text(s) or original artefacts or creative work, the completed submission shall include the following as appropriate:
 - 4.6.1 a copy of the edited text(s) or collection of artefacts with appropriate textual and explanatory annotations and a substantial introduction and critical commentary which sets the text(s) in the relevant historical, theoretical or critical context;
 - 4.6.2 an exegesis set in its relevant theoretical, historical, critical or design context;
 - 4.6.3 a permanent record of the creative work which is, where practicable, bound with the exegesis.
 - 4.7 In circumstances where the research undertaken for a thesis may have commercial sensitivity:
 - 4.7.1 The candidate and the supervisor(s) may, on application, be permitted by the University Postgraduate Board to treat all, or part, of the thesis as a confidential document for such period as is deemed appropriate.
 - 4.7.2 In such cases access to the confidential material shall be restricted to the supervisor(s), candidate, examiner(s), the Convenor of the oral examination and University staff who are involved in the examination and lodgement processes.
 - 4.7.3 The intellectual property policy of the University shall be followed.
 - 4.8 A candidate whose programme includes coursework shall not be permitted to submit the thesis for examination until assessment of the coursework has been completed to the satisfaction of the University Postgraduate Board.
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Section 2 Master's Degrees¹

1 Character of Master's Degrees

- 1.1 The master's degree is at least 240 points, except where it builds on four years of prior study at bachelor's degree or above, in which case it can be fewer than 240 points but no fewer than 120 points. The master's degree must comprise a minimum of 40 points at Level 9 with the remainder at Level 8.

2 Admission to Master's Degrees

- 2.1 In order to be admitted to a master's degree of 240 points, 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:
 - 2.1.1 a bachelor's degree or higher qualification;
 - 2.1.2 a graduate diploma;
 - 2.1.3 a professional qualification recognised by the University as being equivalent to a bachelor's degree;
 - 2.1.4 evidence of professional experience deemed by the University to be equivalent to a bachelor's degree.
- 2.2 In order to be admitted to a master's degree of fewer than 240 points, an applicant shall normally have completed one of the following in a relevant field from a New Zealand tertiary institution or equivalent:
 - 2.2.1 a three-year bachelor's degree and one year of advanced study;
 - 2.2.2 a four-year bachelor's degree.
- 2.3 An applicant is normally expected to have completed the admission qualification to a merit standard as specified in the programme regulations.

3 Time Limits

- 3.1 The total time from first enrolment in a 240 point master's degree programme until the completion of all requirements must not normally exceed two years of full-time or five years of part-time study.
- 3.2 The total time from first enrolment in a 180 point master's degree programme until the completion of all requirements must not normally exceed one and a half years of full-time or four years of part-time study.
- 3.3 The total time from first enrolment in a 120 point master's degree programme until the completion of all requirements must not normally exceed one year of full-time or three years of part-time study.
- 3.4 The Dean (or representative) may grant a short extension of time (up to 2 months) to a student who has not completed the thesis or dissertation by the end of their period of enrolment.

¹The University Postgraduate Board is the governing body for the Master of Philosophy and is responsible for all approvals relating to this programme.

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- 3.4.1 The student shall pay the appropriate additional fees on a pro-rata basis.
 - 3.5 The examination board may approve the extension of a student's period of registration, or suspension of a student's registration by reason of ill health or exceptional circumstances beyond the student's control.
 - 3.5.1 The extension shall not normally exceed one semester.
 - 3.5.2 The student shall re-enrol and pay the appropriate fee.

4 Theses and Dissertations

- 4.1 A thesis is defined as a programme of study in which the student's own work forms, as a point of origin or reference, a significant part of the intellectual enquiry of an appropriate topic, deemed equivalent to a minimum of 90 points.
- 4.2 A dissertation is a programme of study in which the student undertakes an independent scholarly investigation of an appropriate topic, and/or a small scale research project deemed equivalent to a minimum of 40 points.
- 4.3 Before beginning work on a thesis or dissertation the student shall submit a proposal for approval to the board of studies.
- 4.4 The board of studies approves the appointment of supervisor(s) for theses and dissertations.
- 4.5 Each student who undertakes a thesis shall normally have one supervisor who shall have experience of supervising students to the successful completion of a postgraduate degree.
 - 4.5.1 A thesis which is practice-focused shall normally have two supervisors appointed.
 - 4.5.2 The primary supervisor who has responsibility to supervise the student on a regular and frequent basis shall normally be a staff member of the University.
- 4.6 Each student who undertakes a dissertation shall normally have one supervisor.
- 4.7 If the supervisor (or where there is more than one, the primary supervisor) is absent for an extended period because of illness, leave or other reasons, either the second supervisor or an appropriately qualified replacement supervisor shall be appointed on the recommendation of the board of studies.
- 4.8 In the case of a student whose work is not proceeding satisfactorily for reasons outside the student's control, or who does not have an effective working relationship with a supervisor, the programme leader may arrange for a suitably qualified replacement supervisor to be appointed by the board of studies.
 - 4.8.1 If a student is dissatisfied with the decision of the board of studies, the student may appeal directly to the University Postgraduate Board for a change in supervision arrangements.

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- 4.9 Students shall apply to the board of studies for permission to undertake the thesis or dissertation at a location other than the University.
- 4.9.1 Where such permission is granted, an appropriate external supervisor shall be appointed on the recommendation of the board of studies.
- 4.10 When a student undertakes a thesis or dissertation for which the principal focus is the preparation of a scholarly edition of text(s) or original artefacts or creative work, the completed submission shall include the following as appropriate:
- 4.10.1 A copy of the edited text(s) or collection of artefacts, appropriate textual and explanatory annotations and a substantial introduction and critical commentary which sets the text(s) in the relevant historical, theoretical or critical context;
- 4.10.2 An exegesis set in its relevant theoretical, historical, critical or design context;
- 4.10.3 A permanent record of the creative work which is, where practicable, bound with the exegesis.
- 4.11 In circumstances where the research undertaken for a thesis or dissertation may have commercial sensitivity:
- 4.11.1 The student and the supervisor(s) may, on application, be permitted by the University Postgraduate Board to treat all, or part, of the thesis or dissertation as a confidential document for such period as is deemed appropriate;
- 4.11.2 In such cases access to the confidential material shall be restricted to the supervisor(s), student, examiner(s) and University staff who are involved in the examination and lodgement processes;
- 4.11.3 The intellectual property policy of the University shall be followed.

5 Honours

- 5.1 A student who completes the requirements of a master's degree with an independent research project of at least 40 points within the normal time limit allowed may be awarded the degree with honours.
- 5.2 The award of honours will be made in classes:
- 5.2.1 Honours (First Class);
- 5.2.2 Honours (Second Class, First Division);
- 5.2.3 Honours (Second Class, Second Division).
- 5.3 In establishing the class of honours to be awarded, all grades for papers/thesis/dissertation will be taken into account.
- 5.4 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 the prior approval of the University Postgraduate Board.

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- 5.5 A student will not be eligible for the award of honours where the examiners have required the resubmission of the thesis.
 - 5.6 Where requirements for the award of honours are specified in the programme regulations, a student who has met those requirements will be eligible for the award of honours.
 - 5.7 The University Postgraduate Board will consider all programme-specific requirements for the award of honours.
 - 5.8 The University Postgraduate Board, upon the recommendation of the examination board, decides the class of honours to be granted to a master's student.

6 Distinction and Merit

- 6.1 A student who completes the requirements of a degree without a research component of at least 40 points within the normal time limit allowed may be awarded the degree with distinction or merit.
- 6.2 The degree will be awarded with distinction where overall achievement falls within the A grade range.
- 6.3 The degree will be awarded with merit where overall achievement is a B+ grade.
- 6.4 In establishing the award of distinction or merit all grades for papers will be taken into account.
- 6.5 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 examination board.
- 6.6 The University Postgraduate Board, upon the recommendation of the examination board, decides the award of distinction or merit to be granted to a master's student.

Section 3 Postgraduate Diplomas and Postgraduate Certificates

1 Character of Postgraduate Diplomas and Postgraduate Certificates

- 1.1 A postgraduate diploma must comprise a minimum of 120 points at or above Level 8.
- 1.2 A postgraduate certificate must comprise a minimum of 60 points at or above Level 8.

2 Admission to Postgraduate Diplomas and Postgraduate Certificates

- 2.1 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:

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- 2.1.1 a bachelor's degree;
 - 2.1.2 a professional qualification recognised by the University as being equivalent to a bachelor's degree;
 - 2.1.3 evidence of professional experience deemed by the University to be equivalent to a bachelor's degree.
- 2.2 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.

3 Time Limits

- 3.1 The total time from first enrolment in a postgraduate diploma programme until the completion of all requirements must not exceed three years.
- 3.2 The total time from first enrolment in a postgraduate certificate programme until the completion of all requirements must not exceed two years.

Section 4 Bachelor's Degrees with Honours

1 Character of Bachelor's Degrees with Honours

- 1.1 A one-year bachelor's degree with honours must comprise, a minimum of 120 points at Level 8, including a research component of at least 30 points.
- 1.2 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.

2 Admission to Bachelor's Degrees with Honours

- 2.1 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 a B average in the relevant field of study over 75 points at Level 7 from a New Zealand university or equivalent.
- 2.2 The normal admission requirements for a four-year bachelor's degree with honours are stated in Part 3, Section 3: Admission into Bachelor's Degrees and in conjunction with the individual programme regulations.

3 Time Limits

- 3.1 The total time from first enrolment in a one-year bachelor's degree with honours until the completion of all requirements must not exceed two years.
- 3.2 The total time from first enrolment in a four-year bachelor's degree with honours until the completion of all requirements must not exceed eight years.

4 Dissertations

- 4.1 A dissertation undertaken towards a bachelor's degree with honours is a programme of study in which the student undertakes an independent scholarly investigation of an appropriate topic, and/or a small-scale research project deemed equivalent to a minimum of 30 points.

5 Honours

- 5.1 The following classes of honours may be granted for the qualification of a bachelor's degree with honours:
- 5.1.1 Honours (First Class);
 - 5.1.2 Honours (Second Class, First Division);
 - 5.1.3 Honours (Second Class, Second Division).
- 5.2 The University Postgraduate Board, upon the recommendation of the examination board, decides the class of honours to be granted to a student in a 120 point bachelor's degree with honours.

APPENDIX B: FORMS

Listing of Forms and Report Formats

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 from the University Postgraduate Centre, postgraduate faculty offices or the AUT website, <http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/postgraduate-forms>.

Postgraduate Forms

Form PG1 Postgraduate Thesis/Dissertation Research Proposal

Form PG2 Variation of Record

Form PG3 Postgraduate Candidate Progress Report

Form PG4 Recommendation for the Appointment of Examiners for a Thesis/Dissertation

Form PG5 Lodgement of Thesis/Dissertation for Examination

Form PG6 Deposit of Master's Thesis/Dissertation/Exegesis in the Auckland University of Technology Library

Form PG8 Amendments to Thesis as required by Examiners

Form PG9 Recommendation for Deposit of Bachelor with Honours Dissertation/Exegesis in the Auckland University of Technology Library

Form PG17 .. Recommendation for Admission to the Master of Philosophy.
A summary sheet prepared by the faculty. This must accompany Form PG1 to the University Postgraduate Board.

Form PG18 .. Application for Restricted Access to a Thesis/Dissertation/Exegesis

Doctoral Forms

Form D1..... Application for Provisional Admission to the PhD and Thesis Proposal
Includes brief research proposal. Form D1 must be accompanied by an Application for Enrolment Form

Form D2..... Application for Provisional Admission to a Professional Doctoral Degree
Includes brief research proposal. Form D2 must be accompanied by an Application for Enrolment Form.

Form D3..... Recommendation for Admission
A summary sheet prepared by the faculty. This must accompany Form D1 to the University Postgraduate Centre.

Form D4..... Transfer to the PhD from an AUT Master's Programme
Application form detailing requirements for the transfer.

Form D5..... Major Change in Topic
Notification of a significant change in thesis topic.

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- Form D6..... Supervisor Changes
Notification of the appointment of additional supervisors and changes of supervisors
- Form D7..... Variation of Record
Application for changes to candidature such as mode of study, thesis topic/title, deferment/leave of absence of enrolment, withdrawal from programme, request for extension and expected completion.
- Form D8..... Progress Report
A six-monthly report on research progress by the candidate.
- Form D9..... Doctoral Research Proposal
Application for confirmation of candidature and the full proposal.
- Form D10..... Transfer to the Master of Philosophy from an AUT Doctoral Programme
- Form D11..... Recommendation for Appointment of Examiners
A faculty postgraduate committee notification of examiners.
- Form D12..... Lodgement of Thesis for Examination
A statement that the thesis is ready for examination.
- Form D13..... Oral Examination Panel Report
A report on the oral examination prepared by the Convenor of the Examination Panel.
- Form D14..... Amendments to Thesis as Required by Examiners
An attestation that amendments to the thesis have been actioned as requested by the examiners to the primary supervisor's satisfaction.
- Form D15..... Deposit of Doctoral or MPhil Thesis/Exegesis in the Auckland University of Technology Library
- Form D16..... Transfer of Candidature
To be completed by a candidate transferring doctoral candidature to AUT from another institution.
- Form D17..... Recommendation for Admission to the Master of Philosophy
A summary sheet prepared by the faculty. This must accompany Form PG1 to the University Postgraduate Centre.
- Form D18..... Application for Restricted Access to a Doctoral or MPhil Thesis/Exegesis

AUTEC Forms

- EA1..... Appendix C: Application for Ethics Approval
This is the form you need to use for most applications.
- EA2..... Appendix G: Progress Report
This is used for the annual progress report on ethics applications other than Class Research Projects.
- EA3..... Appendix H: Completion Report
This is used for the completion report on ethics applications other than Class Research Projects.

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- EA4..... Appendix J: AUT Authorisation
This form is used exclusively for Health and Disability Research that needs to be considered by one of the Health and Disability Research Committees and is to accompany every such application.
- EA5..... Appendix K: Notification to AUTEK of External Approval
This form is submitted to AUTEK along with the external ethics application and approval letter when ethics approval has also been granted by an external ethics committee.

Information Sheet for Exemplars

Appendix D1 There are a number of these for your assistance. Please read the Guide in Appendix D as well.

Consent Form Exemplars

Appendix E .. There a few for your assistance. Please note the difference between assent and consent and ensure that you get both when appropriate.

Confidentiality Agreement Exemplars

Appendix F... There are a few here for your assistance. They are required whenever someone other than the researcher has access to the data.

APPENDIX C: SUPERVISION AGREEMENTS

Research Supervision Agreements

Doctoral Research Supervision Agreement

This pro-forma agreement document is provided for discussion between a doctoral studies candidate 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 candidate makes an original contribution to knowledge.

The pro-forma may be amended by mutual agreement of candidate and supervisor(s) according to specific department/faculty requirements.

The agreement should not be considered a legal contract.

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

In signing this agreement, candidates 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 candidates can approach the faculty postgraduate office, Associate Dean (Postgraduate), Director of Postgraduate Studies or any member of the University Postgraduate Board in order to seek a satisfactory resolution.

Candidates

Candidates 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 candidate will meet with them on a regular basis
- that candidates will draw on their supervisors' expertise and advice as appropriate
- that the candidate 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, candidates and supervisors agree to:

- meet or make contact on a regular basis (e.g. every 4 weeks) to discuss the candidates doctoral programme and review progress
- submit 6-monthly reports that record the candidate'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.

Headers and prompts for consideration and possible agreement in more detail follow.

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.

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:

[Candidate ID and full candidate 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 91 - 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 candidate. 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 candidate 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.

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

Name Student:.....
Name(s)
Supervisor(s):.....
Name(s)
Supervisor(s):.....
Date:.....

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?
- 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. candidate suffering financial hardship or experiencing relationship difficulties or supervisor going on sabbatical, expecting a baby or...?

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 candidates)

- 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/candidate understanding?

See “Monitoring and Evaluation” on page 30.

Faculty Expectations & Resources

Written information

- what documents are relevant for postgraduate candidates?
- What web URLs are useful?

What access does the candidate 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 candidate?

- seminar presentation of thesis/dissertation in progress?
- small group meetings to discuss progress?
- what else?

Monitoring supervision, resolving conflict

What are the faculty procedures for monitoring the supervision in the event that one of us is not happy with its progress? For replacement of supervisor? For establishing a time commitment by the candidate (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 consent from the AUT Ethics Committee?
- how do I apply for ethical approval? Deadlines?

Intellectual Property

- who owns the intellectual property that I produce?
- are there any documents outlining my rights & responsibilities with respect to the University and any third parties?
- has the commercial potential of the research been discussed?

see page 91 - 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

APPENDIX D: ETHICAL PRINCIPLES

Note: The following information is given as a guide only. Researchers are reminded that the authoritative source for this information is the Ethics Knowledge Base.

Ethical Principles Governing Research at AUT

AUTEC will be guided by the following key principles in considering applications for ethical approval:

Informed and Voluntary Consent

Participation of a human subject in any research project or teaching session must be voluntary and based on understanding of adequate or appropriate information about what such participation will involve. Information provided should be in simple, clear language appropriate to the potential participants.

In particular, all prospective participants must know:

- the names of the people responsible for the project;
- the procedures they will be asked to agree to participate in, for example, interviews, testing, participation in a focus group;
- why the project is being undertaken and how the information will be used, for example, thesis, publications;
- that they can withdraw from the process without penalty before the data collection process is completed;
- what will happen to the information when it is obtained, for example, aggregated with other information or used as a case study;
- whether information obtained will be transcribed by another person. It is good practice to inform potential participants that the transcriber will be required to sign a confidentiality form;

- how their confidentiality and anonymity will be protected. If either of these cannot be guaranteed, participants should be advised of this fact and the reasons why;
- what will happen to the data on completion of the process;
- whether they are able to see the final report and, if so, how this process will be conducted.

Respect for Rights of Privacy and Confidentiality

Privacy and confidentiality must be respected. The identity of participants is to be protected at all stages of a project unless prior consent has been obtained from each participant. The confidentiality of information obtained incidentally during research must also be respected except where disclosure is necessary to avoid grave harm.

Researchers should remain aware of the possibility of inadvertent disclosure of identities, for example when reflecting on their research experiences in focus group discussions.

Researchers are responsible for keeping information (including the identity of participants) confidential and secure from interception or appropriation by unauthorised

persons, or for purposes other than the approved research. This will often require coding of data and removal of identifying material from documentation. Anonymity is not always assured when this is done.

Researchers and supervisors are responsible for the safekeeping and confidentiality of signed consent forms, which must be stored separately from the data.

The Privacy Act (1993) must be complied with. In particular, participants have a right to access all personal information held by researchers and information must be used only for the purpose for which it was gathered.

Minimisation of Risk

It is not acceptable to expose participants to unacceptable levels of risk or harm. Risks may be physical, psychological or social and may include such things as pain, stress, emotional distress, fatigue, embarrassment, cultural dissonance and exploitation.

Researchers should make every attempt to identify, disclose and minimise any risks which may be involved for individuals or groups in a research project. It should be acknowledged that risk cannot be completely eliminated in many fields of investigation. Considerations of public good may justify an element of risk under certain circumstances, provided participants are aware of the risks. It may be helpful to consult potential participants to see what concerns or risks they are worried about. Unavoidable risks, including inconvenience and discomfort, must be balanced against possible benefit to participants or the community and the benefits for the public good in judging the ethical acceptability of research.

Elements of psychological risk are greatest in research which involves dealing with persons who are undergoing or have undergone trauma. In such cases, AUTECH will only give approval where the researcher or a nominated person is a professional person with suitable training and experience or where appropriate supervision and safeguards are provided. Adequate information on that training and experience must be provided to AUTECH as part of the application.

Research or teaching involving risks to participants must be supervised by appropriately qualified persons.

Limitation of Deception

Deception of subjects conflicts with the principle of informed consent, but in some areas of research it may sometimes be justified to withhold information about the purposes and procedures of the research. Researchers must make clear the precise nature and extent of any deception and why it is thought necessary. Emphasis on the need for consent does not mean that covert research can never be approved. Any departure from the standard of properly informed consent must be acceptable when measured against possible benefit to the participants and the importance of the knowledge to be gained as a result of the project or teaching session. This must be addressed in all applications.

Researchers have a responsibility to ensure that subjects of covert or deceptive procedures are provided as soon as possible with a sufficient explanation of the true purpose and nature of the research and reasons for the deception.

Social and Cultural Sensitivity

In any research, particular consideration must be given to the principles of the Treaty of Waitangi in planning for appropriate consultation and research processes.

These implications are not restricted to comparative studies between ethnic groups. The ethics of research and the way knowledge is shared and gained incorporates the three principles of participation, protection and partnership. Researchers may not always be able to identify whether definitive issues will arise, but must be receptive and prepared for the eventuality.

Research procedures should be appropriate to the participants. Researchers have a responsibility to inform themselves of, and take the steps necessary to respect, the social and cultural sensitivity of all participants.

Where a research project involves persons from another culture or language group, consideration must be given to the preferences of the potential participants as far as consultation, language and documentation are concerned. Particular consideration must be given to the translation of documentation if appropriate in particular cases.

The purpose of any consultation is to ensure that research practices are appropriate and acceptable. Consultation should begin as early as possible in the project and should continue throughout its duration.

Research Adequacy

Research is considered ethical only if it meets appropriate standards of adequacy.

AUTEC recognises that different research paradigms may inform the conception and design of projects.

It adopts the following minimal criteria of adequacy:

- the project must have clear research goals;
- its design must make it possible to meet those goals;
- the project should not be trivial but should potentially contribute to the advancement of knowledge to an extent that warrants any cost or risk to participants.

Avoidance of Conflict of Interest

Researchers have a responsibility to ensure that there is no conflict between their responsibilities as a researcher and other duties or responsibilities they have towards participants or others. For example, academic staff members who propose to involve their candidates as participants in research need to ensure that no conflict arises between their roles as teacher and researcher, particularly in view of the dependent relationship between candidate and teacher, and of the need to preserve integrity in assessment processes.

It is important that researchers identify any potential conflicts of interest and specify measures proposed to deal with them.

Any sponsorship, funding or commercial support of a research project must not compromise the adequacy or ethical integrity of the research.

Respect for Vulnerability of Some Participants

It is important to recognise that some potential participants may be particularly vulnerable because of age, disability, health status or for other reasons. Where this is the case, researchers should give special consideration to their needs, especially with respect to informed consent and minimisation of risk. All practicable steps should be taken to address the particular needs of vulnerable groups or individuals.

Respect for Property (Including University Property and Intellectual Property Rights)

Teachers and researchers must ensure that processes do not violate or infringe legal or culturally determined property rights. These may include factors such as land and goods, works of art and craft, spiritual treasures and information.

Particular attention should be paid to the legal and ethical dimensions of intellectual property. Care must be taken to acknowledge and reference the ideas of all contributors and others and to obtain any necessary permission to use the intellectual property of others. The abuse or misuse of University property is not acceptable in research or teaching activities. It is also considered unethical for members of AUT to publish false, misleading or inaccurate information or interpretation which diminishes the public image of the University.

Fuller information about these Ethical Principles, their application at AUT and the ethical approval processes can be found in the Ethics Knowledge Base, accessible online through the following web-link:

<http://www.aut.ac.nz/research/research-ethics>

APPENDIX E: ENGLISH LANGUAGE CRITERIA

English Language Requirements

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.

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.

Following are the IELTS admission scores for qualifications:

QUALIFICATION LEVEL	Minimum IELTS scores
Doctorate	6.5 overall with 7 in Writing and with no band less than 6
Postgraduate Programmes (Master's, Postgraduate Diplomas, Postgraduate Certificates and Bachelor with Honours)	6.5 overall with no band less than 6
Graduate Diplomas and Certificates and Conjoint Degrees	
Bachelor's Degree	6 overall with no band less than 5.5
Diplomas	Diplomas are either 6 overall with no band less than 5.5, or 5.5 overall with no band less than 5.
Certificates	5.5 with no band less than 5

Some programmes have higher requirements for IELTS entry and these exceptions are listed in the table below:

CODE	QUALIFICATION TITLE	OVERALL IELTS	Writing	Reading	Listening	Speaking
Postgraduate Degrees						
AK3482	Master of Communication Studies	7	7	6.5	6.5	7
AK1303	Master of Creative Writing					
AK1299	Postgraduate Diploma in Communication Studies					
AK1261	Bachelor of Communication Studies (Honours)					
AK1287	Master of Professional Language Studies in Language Teaching	6.5	7	6	6	7
AK3689	Master of Arts (Applied Language Studies)	6.5	7	6	6	6
AK3649	Master of Education					
AK3696	Bachelor of Arts (Honours) in Education					

APPENDIX F: BOARDS AND COMMITTEES

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 purpose of the University Postgraduate Board is to oversee the development and review of all postgraduate programmes (Levels 8-10) of the University to ensure the highest academic standards are attained. The University Postgraduate Board is responsible to Academic Board for the oversight of all postgraduate programmes with respect to:

- strategy, development, approval, monitoring and review including academic regulations;
- protecting the interest of students and supervisors;
- admissions, supervision arrangements, thesis and dissertation examination processes, student progress, approving the award of honours and recommending the granting of qualifications.

The Board may delegate responsibilities to a faculty postgraduate committee or the University Postgraduate Centre.

University Postgraduate Board 2012 Meeting Schedule:

Meeting Date 3rd Tuesday of Month	Agenda Closure Date
21 February	7 February
20 March	5 March
17 April	2 April
15 May	30 May
19 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. This Board has 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 those responsibilities delegated by the University Postgraduate Board as outlined above.

Boards of Studies

Each programme has a board of studies² 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 candidate 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 candidates.

Examination Board

Each programme has an examination board¹ which monitors individual candidate achievement and recommends the granting of qualifications.

Auckland University of Technology Ethics Committee (AUTEC)

AUTEC is an institutional ethics committee accredited to the Health Research Council of New Zealand. AUTEC reports annually to the Council of Auckland University of Technology and the Health Research Council of New Zealand.

AUTEC's main responsibilities are:

- To review or provide for the review of all proposed research and teaching projects being undertaken by staff or students at AUT University and involving human participants;
- To provide advice and assistance with regard to ethical principles to anyone undertaking such research or teaching projects;
- To provide an avenue for handling complaints or queries regarding ethical standards of research and teaching;
- To provide comment and guidance on all aspects of institutional ethics including the public image of the University, the use of assets of the University, ethical aspects of institutional research and other matters referred to AUTEC from time to time.

Note: Any research or teaching at AUT that involves the use of animals is to be referred for ethical review to The University of Auckland Animal Ethics Committee which can be contacted by email at aec-secretary@auckland.ac.nz.

The membership of AUTEC is structured to ensure that it has appropriate medical, scientific and other research expertise to enable it to provide ethical review of the

2 The University Postgraduate Board acts as the Board of Studies and Examination Board for the Master of Philosophy and doctoral programmes.

majority of proposals it receives. 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 sought.

As part of this structure, AUTECH includes:

- An appointee of each of the University's faculties;
- An appointee of the Council of AUT;
- An appointee of the AUT Students' Association (AuSM);
- An appointee of the Pro Vice-Chancellor (Māori Advancement) to represent Māori interests;
- An appointee of the Pro Vice-Chancellor (Research);
- Four to six other members co-opted by AUTECH, the majority of whom shall be from outside the University, to provide expertise and balance as required by the Health Research Council's Operational Standards for Ethics Committees and as the Committee considers necessary.

Full information on the current membership of and terms of reference for AUTECH is available online in the Ethics Knowledge Base, accessible through the following link.

www.aut.ac.nz/research/research-ethics.

AUTEC 2012 Meeting Schedule

Meeting Date	Agenda Closure Date
23 January	10 January
13 February	31 January
27 February	7 February*
12 March	28 February
26 March	13 March
16 April**	27 March**
30 April	17 April
14 May	1 May
28 May	15 May
11 June	29 May
25 June	12 June
9 July	26 June
23 July	10 July
13 August	31 July
27 August	14 August
10 September	28 August
24 September	11 September
8 October	25 September
29 October***	16 October***
12 November	30 October
26 November	13 November
10 December	27 November

* This agenda closing date is one week earlier because of various activities at that time

** The meeting is one week later because of Easter

** One week later because of Labour Day

AUTEC Development Day 2012

Monday 19 November 2012 10am until 4pm

Comprehensive information about the Auckland University of Technology Ethics Committee (AUTEC) and the ethics approval process, including current meeting schedules, is to be found online in the Ethics Knowledge Base:

www.aut.ac.nz/research/research-ethics

APPENDIX G: QUALIFICATION LISTING

Formal Abbreviations for Postgraduate Programmes

Code	Qualification Title	Abbreviation
AK1245	Doctor of Design	DDes
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
AK3483	Master of Art and Design	MA&D
AK3689	Master of Arts	MA
AK1300	Master of Arts Management	MArtsMgmt
AK3559	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
AK3732	Master of Engineering Studies	MEngSt
AK1317	Master of Engineering Project Management	MEPM
AK1310	Master of Forensic Information Technology	MFIT
AK3733	Master of Health Practice	MHPrac
AK3485	Master of Health Science	MHSc
AK3705	Master of International Hospitality Management	MIHM
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
AK1316	Master of Service-Oriented Computing	MSOC
AK3910	Master of Sport and Exercise	MSpEx
AK1282	Master of Tourism Studies	MTourS
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
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
AK3566	Postgraduate Diploma in Engineering	PgDipEng

AK3487	Postgraduate Diploma in Health Science	PgDipHSc
AK3747	Postgraduate Diploma in International Hospitality Management	PgDipIHM
AK1027	Postgraduate Diploma in Medical Laboratory Science	PgDipMLS
AK3711	Postgraduate Diploma in Professional Accounting	PgDipPA
AK3806	Postgraduate Diploma in Public Health	PgDipPH
AK1038	Postgraduate Diploma in Science	PgDipSc
AK3911	Postgraduate Diploma in Sport and Exercise	PgDipSpEx
AK1283	Postgraduate Diploma in Tourism Studies	PgDipTourS
AK3557	Postgraduate Certificate in Advanced Nursing Practice	PgCertAdvNursPrac
AK1004	Postgraduate Certificate in Arts	PgCertArts
AK3742	Postgraduate Certificate in Business	PgCertBus
AK1020	Postgraduate Certificate in Business Administration	PgCertBA
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
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
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)

APPENDIX H: COVER/TITLE PAGE SPECIFICATIONS

Thesis/Dissertation Cover Specifications

Note: Although the examples used for the Cover and Spine Specifications are for a PhD thesis, all master's theses and dissertations should follow this format.

Making the Grade: The Impact of Early Collaboration Between Postgraduate Student and Supervisor on the Student's Thesis Grade
Mary Dempster PhD
2008

Thesis/Dissertation Spine Specifications

Note: 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.

M Dempster	PhD	2008
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Thesis/Dissertation Title Page Specifications

A sample thesis title page for a degree requiring coursework:

Making the Grade: The Impact of Early Collaboration
Between Postgraduate Student and Supervisor
on the Student's Thesis Grade

Mary Dempster

A thesis submitted to
Auckland University of Technology
in partial fulfilment of the requirements for the degree
of
Master of Education (MEd)

2008

School of Education

A sample thesis title page for a degree not requiring coursework (eg PhD or MPhil):

Making the Grade: The Impact of Early Collaboration
Between Postgraduate Student and Supervisor
on the Student's Thesis Grade

Mary Dempster

A thesis submitted to
Auckland University of Technology
in fulfilment of the requirements for the degree of
Doctor of Philosophy (PhD)

2008

School of Education

APPENDIX I: LETTER SEEKING PERMISSION FROM PUBLISHERS/THIRD PARTY COPYRIGHT MATERIAL

Sample letter from author to publisher seeking permission to include in a thesis previously published material written by the author in which copyright has been assigned to the publisher

[Your contact details]

[Date]

[Publisher's details]

Dear

I am the author/co-author of [insert full citation details for the work] ("the Work") which was published by [insert publisher's name] in [insert name and date of publication/s] and for which the copyright was assigned to [you or your company] by an agreement dated [insert date].

I am a doctoral/master's student at Auckland University of Technology and would like to include the Work in my doctoral thesis '[insert title of thesis]'. The Work would be fully and correctly referenced in this thesis.

A print copy of this thesis when completed will be deposited in the Auckland University of Technology Library, and a digital copy will also be made available online via the University's digital repository, ScholarlyCommons@AUT <http://autresearchgateway.ac.nz/>. This is a not-for-profit research repository for scholarly work which is intended to make research undertaken in the University available to as wide an audience as possible.

I would be grateful if you, or the company you represent, could grant me permission to include the Work in my thesis and to use the Work, as set out above, royalty free in perpetuity.

If you agree, I should be very grateful if you would sign the form below and return a copy to me. If you do not agree would you please notify me of this. I can most quickly be reached by email at [insert your email address].

Thank you for your assistance. I look forward to hearing from you.

Yours sincerely

[Your name]

I/We _____ hereby grant permission
for use of the Work for the purposes and the terms identified above.

For and on behalf of [*name of company*] _____
Date: _____

Adapted from EThOS Electronic Theses Online Service. (2009). EThOS: Author information.
(Letter 1: Letter from author to publisher seeking permission to include in a thesis material
written by the author in which copyright has been assigned to the publisher). Retrieved from
<http://ethostoolkit.cranfield.ac.uk>

Sample letter from author to copyright holder seeking permission to include 3rd party copyright material in a thesis/dissertation

[Your contact details]

[Date]

[Copyright owner's details]

Dear [Copyright owner's name]

My name is [insert your name]. I am a [Masters / Doctoral] student at Auckland University of Technology and am writing a [thesis / dissertation] on [insert subject of thesis] for [insert degree name].

A print copy of this thesis when completed will be deposited in the Auckland University of Technology Library, and a digital copy will also be made available online via the University's digital repository, ScholarlyCommons@AUT <http://autresearchgateway.ac.nz/>. This is a not-for-profit research repository for scholarly work which is intended to make research undertaken in the University available to as wide an audience as possible.

I am writing to request permission for the following work, for which I believe you hold the copyright, to be included in my [thesis / dissertation]:

[insert bibliographic details of the source work]

[insert description of the portion to be included, paging, use of the work, etc]

I am seeking from you a non-exclusive licence for an indefinite period to include these materials in the print and electronic copies of my [thesis / dissertation]. The materials will be fully and correctly referenced.

If you agree, I should be very grateful if you would sign the form below and return a copy to me. If you do not agree, or if you do not hold the copyright in this work, would you please notify me of this. I can most quickly be reached by email at [insert your email address].

Thank you for your assistance. I look forward to hearing from you.

Yours sincerely,

[Your name]

I _____ agree to grant you a non-exclusive licence for an indefinite period to include the above materials, for which I am the copyright owner, in the print and digital copies of your [thesis / dissertation].

Signature: _____

Date: _____

Adapted from Millet, T. (2008). Copyright guidelines for research students. (Appendix 2: Example of copyright permissions letter). Retrieved from <http://www.lconz.ac.nz/usr/Copyright%20Guidelines%20CoNZ%20with%20CC%20licence.pdf>

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- A**
- Abbreviations 151
 - Abstract 104
 - Academic Board 147
 - Academic Dates 6
 - Academic Dress Hire 110
 - Academic Responsibilities of Supervisors 87
 - Accommodation 119
 - Acid free paper 107
 - Acknowledgements 103
 - Administrative Responsibilities 80
 - Admission and Enrolment 38, 58
 - Applying for Admission 39
 - Conditional Admission 59
 - Confirmation of Candidature 40
 - Master of Philosophy 58
 - Notification 59
 - Preparation Paper for MPhil 58
 - Preparation Paper for PhD 38
 - Provisional Admission 38
 - Provisional Admission (with conditions) 39
 - Research Master's Degree 59
 - Transitional Studies 39
 - Amendments 54
 - Annual Programme Reports 30
 - Appeals
 - Appeals against Results 33
 - Thesis Appeals 35
 - Appendices 105
 - Application for Ethics Approval 132
 - Application Processes
 - Additional Information 15
 - Application Requirements 16
 - Delays 15
 - Interviews 15
 - Offer of Place (OOP) 16
 - Application Requirements
 - Domestic Applicants 14
 - International Applicants 14
 - Application to Receive Qualifications 110
 - Appointment of Examiners 47, 52, 65
 - Convenor 48
 - Reserve Examiner 47
 - Appointment of Supervisors 43
 - Attestation of Authorship 102
 - AUT Authorisation 133
 - AUT Commercialisation 24, 119
 - AUTEC 86, 118, 148
 - AUTEC Forms 132
 - AUTEC Meetings 86
 - Authorship 102
 - AUT Protocols 139
 - Award of Honours and Distinction
 - Distinction 76
 - Honours 75
 - Honours (First Class) 75
 - Honours (Second Class, First Division) 75
 - Honours (Second Class, Second Division) 76
 - Merit 76
- B**
- Bachelor's Degrees with Honours 11, 65
 - Entry Criteria 11
 - Level and Characteristics 11
 - Binding Specifications
 - Spine 109
 - Boards and Committees
 - Meeting Schedule 147
 - Boards of Studies 148
 - Business Cards 41
- C**
- Campus events 27, 119
 - Candidates 134
 - Change to Dissertation topic 62
 - Change to Thesis/Dissertation Topic/Title 62
 - Change to Thesis Topic 44
 - Chapters 104
 - Co-Authored Works 102
 - Code of Practice for Supervisors
 - Administrative Responsibilities 80
 - Research Supervision Agreement 83
 - Responsibilities of Supervisors 80
 - Student/Supervisor Problems 83
 - Supervisor Unavailability 82
 - Complaints 32
 - Completion Report 132
 - Computing Resources 23
 - Conditional Admission 39, 59
 - Confidentiality 141
 - Confidential Material 46, 89
 - Confidential Theses 64
 - Confirmation of Candidature 40
 - Business Cards 41
 - Conflict of Interest 143
-

-
- Contact numbers and locations
 - Faculty Contacts 113
 - Other University Contacts 118
 - University Postgraduate Centre 113
 - Contractual Arrangements 92
 - Convenor 48, 50
 - Copies for Examination
 - Dissertation 99
 - Paper Size 99
 - Thesis 99
 - Typing 99
 - Copyright Holder 158
 - Copyright Permission 156, 158
 - Council Approval 110
 - Coursework Master's
 - Entry Criteria 10
 - Level and Characteristics 10
 - Cover specifications 153
 - Creative Work 98
- D**
- Data Gathering 88
 - Declaration of suitability for examination
 - Doctoral 48
 - Postgraduate 67
 - Deferment 43
 - Deferment of Enrolment 60
 - Deposit Form 106
 - Digital Dissertations 108
 - Digital Theses 108
 - Disability Resource Service 28, 120
 - Dissertation 79, 96, 99, 126, 130
 - Layout 101
 - Length 97
 - Supervision 79
 - Distance Services 23
 - Distinction 76, 128
 - Doctoral Business Cards 41
 - Doctoral Degrees 7, 78
 - Entry Criteria 8
 - Level and Characteristics 7
 - Doctoral Degree supervision 78
 - Doctoral Forms 131
 - Doctoral Graduands 110
 - Doctoral Research Supervision Agreement 134
 - Doctoral Section
 - Admission and Enrolment 38
 - Doctoral Studies Timeline 37
 - Examination Processes 47
 - Progression through the Degree 42
 - Document Delivery 23
 - Domestic Applicants 14
- E**
- Editing 98
 - Editorial Amendments 54, 71
 - Email address 23
 - Embargo Process 46, 64
 - Embargoed Dissertations 108
 - Embargoed Theses 108
 - English Language Requirements 14
 - Enrolment 38, 58
 - Enrolment in Prep Paper 38
 - Entry Criteria 7
 - Entry Requirements for Transfer applicants 17
 - Ethical Approval 103
 - Ethics 77, 86, 118, 139
 - Approval 86
 - Ethics Committee 148
 - Principles 87, 141
 - Research Ethics 86
 - Events 25
 - Examination 47, 65
 - Examination Board 148
 - Examination of Creative Works
 - Appointment of Examiners 52
 - Examination Process 52
 - Examination Panel 51
 - Examination Process 52
 - Examination Processes
 - Appointment of Examiners 47
 - Doctoral 47
 - Examination of Creative Works 52
 - Examination Timeframe 49
 - Examiners' Recommendations 53
 - Examiners' Reports 50, 71
 - Lodgement for Examination 48
 - Oral Examination Process 51
 - Pre-meeting for Oral Examination 50
 - Release of Information 55
 - Role of the Primary Supervisor 51
 - Visual Exhibition 66
 - Exegesis 99
 - Exegesis Layout 101
 - Exhibition 98
 - Extensions 43, 60
- F**
- Faculty Boards 148
 - Faculty Contacts 113
-

-
- Faculty of Applied Humanities 113
 - Faculty of Business 115
 - Faculty of Design and Creative Technologies 115
 - Faculty of Health and Environmental Sciences 117
 - Faculty of Te Ara Poutama 117
 - Fail grade 72
 - Formatting and Presentation
 - Copies for Examination 98
 - Editing and Proofreading 98
 - Non-Print Materials 98
 - Thesis/Dissertation/Exegesis Layout 101
 - Thesis/Dissertation/Exegesis Structure 99
 - Funding for Research 24
- G**
- Glossary 105
 - Grading grid 68
 - Graduation 110
 - Academic Dress Hire 110
 - Application to Receive Qualifications 110
 - Council Approval 110
 - Qualifications 110
 - Synopsis 49
 - Grievances 32
 - Guidelines 136
- H**
- Health, Counselling and Wellbeing 28, 120
 - Honoraria 71
 - Honours 75, 127, 130
 - Honours (First Class) 75
 - Honours (Second Class, First Division) 75
 - Honours (Second Class, Second Division) 76
- I**
- IELTS 14
 - IELTS Exemption 14
 - Information Services 22
 - Intellectual Property 91, 103, 136, 139
 - Intellectual Property Rights 103
 - Interdisciplinary Unit 116
 - International Applicants
 - Application to the Doctor of Philosophy 14
 - English Language Requirements 14
 - IELTS Exemption 14
 - Leading Researcher 15
 - International Student Support Service 28, 120
 - Internet Login 23
 - Internet password 23
 - Interviews 15
 - IT Service Desk 23
- L**
- Leading Researcher 15
 - Leave of Absence 44, 61
 - Library Homepage 22
 - Library Resources 22, 119
 - Document Delivery and Distance Services 23
 - Information Services 22
 - Library Homepage 22
 - Limitation of Deception 142
 - List of Figures 102
 - List of Tables 102
 - Lodgement for Examination 48, 67
- M**
- Māori Liaison Services 29, 121
 - Master of Philosophy 9
 - Applying for Admission 58
 - Master's Admission Process 5
 - Master's Degrees 8, 79
 - 120 point master's 9
 - 240 point master's 10
 - Coursework Master's 10
 - Dissertation Supervision 80
 - Entry Criteria 9
 - Level and Characteristics 8
 - Master of Philosophy 9
 - Practice-Focused Thesis 79
 - Research Master's 8
 - Thesis/Dissertation Supervision 79
 - Master's degrees supervision 79
 - Master's dissertations 65
 - Meetings 135
 - Merit 76
 - Minimisation of Risk 142
 - Mode of Study 60
 - Monitoring and Evaluation 30
 - Annual Programme Reports 30
 - Supervision Support 31
-

-
- University Surveys 31
 - N**
 - Networking 25
 - Non-Print Materials 98
 - Notification to AUTECH of External Approval 133
 - O**
 - Off-campus Registration 20
 - Offer of Place (OOP) 16
 - Oral Examination 50, 51
 - Orientation 6, 27
 - Other University Contacts 118
 - AUT Commercialisation 119
 - AUT Ethics Committee 118
 - Student Services Contacts 119
 - University Library 119
 - University Research Office 118
 - P**
 - Paper Size 99
 - Pasifika Student Support Service 28, 120
 - PhD Synopsis for Graduation 49
 - Physical Resources 21
 - Plagiarism 92
 - Post-examination
 - Binding Specifications 108
 - Digital Dissertations 108
 - Digital Theses 108
 - Embargoed Theses and Dissertations 108
 - Postgraduate Certificate 10, 65
 - Entry Criteria 11
 - Level and Characteristics 10
 - Postgraduate Diploma 10, 65
 - Entry Criteria 11
 - Level and Characteristics 10
 - Postgraduate Forms 131
 - Postgraduate Thesis/Dissertation Research Proposal 131
 - Postgraduate Learning Support: Te Tari Āwhina 26
 - Postgraduate Programmes 122
 - Postgraduate Section
 - Admission and Enrolment 58
 - Award of Honours and Distinction 75
 - Progression through Research Components 60
 - Research Examination Processes 65
 - Postgraduate Seminar Series 25
 - Postgraduate Supervision Agreement 136
 - Practice-Based Component 95
 - Practice-Focused Thesis 79
 - Pre-meeting for Oral Examination 50
 - Preparation Paper 38
 - Presentation Options
 - Pathway One 99
 - Pathway Three 100
 - Pathway Two 100
 - Primary Supervisor 43, 51, 64
 - Primary Supervisor's Report 48
 - Privacy 141
 - Professional Doctorates 8
 - Programme Information 7
 - Bachelor's Degrees with Honours 11
 - Doctoral Degrees 7
 - Master's Degrees 8
 - Postgraduate Certificate 10
 - Postgraduate Diploma 10
 - Time Limits 12
 - Programme Regulations 122
 - Progression 42
 - Variations to Candidature 43
 - Progression through Research Components 60
 - Progress Reports 42, 63, 132
 - Proofreading 98
 - Provisional Admission
 - Applying for Admission 39
 - Conditions 39
 - Doctoral candidates 38
 - Publication and Authorship 91
 - Published Material 156
 - Q**
 - Qualifications 110
 - R**
 - Re-examination 72
 - References 105
 - Regulations 122
 - Release of Examination Outcome 74
 - Release of Examiners' Reports 74
 - Release of Information 55
 - Report Formats 131
 - Reporting Areas 30
 - Research Adequacy 143
 - Research at AUT 87, 89
-

-
- Confidential Material 89
 - Conflict of Interest 89
 - Contractual Arrangements 92
 - Data Gathering, Storage and Retention 88
 - Intellectual Property 91
 - Plagiarism 92
 - Publication and Authorship 91
 - Te Reo Māori in Theses and Dissertations 94
 - Research Description 94
 - Research Ethics 86
 - AUTEC Meetings 86
 - Conflict of Interest 89
 - Data Gathering, Storage and Retention 88
 - Ethical Approval for Research 86
 - Ethical Principles 87
 - Responsibilities of Supervisors and Students 87
 - Research Examination Processes
 - Appointment of Examiners 65
 - Examination Timeframe 67
 - Examiner Recommendations 71
 - Examiners' Reports 68
 - Lodgement for Examination 67
 - Payment of Honoraria 71
 - Postgraduate Declaration 67
 - Processing of Examiners' Reports 71
 - Release of Examination Outcome 74
 - Release of Examiners' Reports 74
 - Reserve Examiner 66
 - Research Master's 8
 - Research Outputs 94
 - Dissertation 96
 - Dissertation Length 97
 - Research Description 94
 - Theses and Dissertations 94
 - Theses with Practice-Based Component 95
 - Thesis Length 95
 - Research Proposal 38
 - Research Proposal Preparation Paper 38
 - Research section
 - Formatting and Presentation 98
 - Graduation 110
 - Post-examination Binding 107
 - Research at AUT 89
 - Research Ethics 86
 - Research Outputs 94
 - Research Supervision 78
 - Research Skills 18
 - Research Supervision 78
 - Code of Practice for Supervisors 80
 - Doctoral Degrees 78
 - Grievances/Complaints 32
 - Master's Degrees 79
 - Staff Development for Supervisors 84
 - Supervisory Mentor 78
 - Research Supervision Agreement 43, 64, 83, 134
 - Research Topic 18
 - Reserve Examiner 47, 66
 - Resolution of Problems 32
 - Appeals 33
 - Grievances/Complaints 32
 - Resources 21
 - Computing Resources 23
 - Funding for Research 24
 - Internet Login 23
 - Physical Resources 21
 - Student Services 26
 - University Postgraduate Centre 24
 - Responsibilities of Supervisors 80
 - Responsibilities of the Programme Leader 82
 - Retention 88
 - Revise and Re-submit 54, 72
 - S**
 - Scholarships 24
 - Scholarships Office 28, 120
 - School of Art and Design 115
 - School of Communication Studies 115
 - School of Computing and Mathematical Sciences 116
 - School of Education 114
 - School of Engineering 116
 - School of Hospitality and Tourism 114
 - School of Languages and Social Sciences 113
 - Social and Cultural Sensitivity 143
 - Spine 109
 - Spine Specifications 153
 - Staff Development for Supervisors 84
 - Standard Qualification Regulations 122
 - Storage 88
 - Student Accommodation 27
 - Student Advisors 26, 120
 - Student Financial Services 120
 - Student Information Centre 26, 119
 - Student Mentors 120
-

-
- Student Responsibilities 83, 88
Student Services 26
 Contacts 119
Student/Supervisor Problems 83
Suitability for Examination 67
Supervision 78
 Supervision Agreements 134
 Supervision Support 31
 Supervisor Problems 83
 Supervisors 43, 63, 79, 87, 134
 Supervisor Unavailability 82
 Supervisory Mentor 43, 78
Synopsis 49
- T**
- Table of Contents 102
Te Reo Māori 94
Termination of Enrolment 45, 62
Te Tari Āwhina 120
The Chinese Centre 27
Thesis 95, 99, 123, 126
 Thesis Appeals 35
 Thesis Layout 101
 Thesis Length 95
 Thesis Supervision 79
 Thesis Title 44
 Thesis Topic 44
Thesis/Dissertation Cover Specifications 153
Thesis/Dissertation/Exegesis Layout
 Abstract 104
 Acknowledgements 103
 Appendices 105
 Attestation of Authorship 102
 Chapters 104
 Co-Authored Works 102
 Confidential Material 103
 Deposit Form 106
 Ethical Approval 103
 Glossary 105
 Intellectual Property Rights 103
 List of Figures 102
 List of Tables 102
 References 105
 Table of Contents 102
 Title page 101
Thesis/Dissertation/Exegesis Structure 99
Third Party Copyright 105, 156
Time Limits 12, 123, 125, 129
Title Page Specifications 101, 154
Transfer from Master's to PhD 17
Transfer of Doctoral Candidature 18
Transfer of Doctoral Research 18
Transfer of Master's Research 17
Transfer Requirements 17
 Transfer of Master's Research 17
 Transfer to 240 point Master's 17
 Transfer to MPhil 17
 Transfer to PhD 18
Transitional Studies 39
Typing 99
- U**
- University Career Services 26, 120
University Postgraduate Board 147
University Postgraduate Centre 24, 113
 Networking for Doctoral Candidates 25
 Postgraduate Network 25
 Postgraduate Seminar Series 25
University Research Office 24
University Surveys 31
Unsatisfactory Progress 45, 62
- V**
- Variations to Candidature 43, 60
 Change to Dissertation title 62
 Change to Dissertation Topic 62
 Change to Thesis Title 44, 62
 Change to Thesis Topic 44, 62
 Deferment 60
 Deferment of Enrolment 43
 Extensions 43
 Leave of Absence 44
 Mode of Study 44
 Withdrawal 45
Visual Exhibition 66
Voluntary Consent 141
- W**
- Withdrawal 45, 61
Word limits 95, 97
-
