AUT

POSTGRADUATE HANDBOOK 2026

AUCKLAND UNIVERSITY OF TECHNOLOGY POSTGRADUATE HANDBOOK 2026

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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.

The content of this handbook is designed to provide guidance for postgraduate students and staff on the policies and procedures that operate at AUT.

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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ACADEMIC DATES FOR 2026

JANUARY

26	Auckland Anniversary Day

FEBRUARY

6	Waitangi Day
23	Semester 1 Commences

APRIL

3	Good Friday (Easter)
6	Semester Break
6	Easter Monday
7	University Holiday (Easter)
20	Semester 1 Resumes
27	Anzac Day Observed

JUNE

1	King's Birthday
19	Semester 1 Ends
22–12 JUL	Inter-semester Break

JULY

10	Matariki
13	Semester 2 Commences

AUGUST

24–4 Sept	Semester Break

SEPTEMBER

7	Semester 2 Resumes

OCTOBER

26	Labour Day

NOVEMBER

6	Semester 2 Ends
23	Summer School Commences

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

IMPORTANT BOARDS AND COMMITTEES

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

Academic Board (ACBD)

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

University Postgraduate Research Board (UPRB)

The University Postgraduate Research Board is responsible to Academic Board to support a high quality, sustainable postgraduate research student experience. The Board have academic oversight for postgraduate research programmes with respect to:

1. Developing and monitoring policies for the enhancement of quality and standards in all postgraduate research programmes;
2. Development and oversight of the implementation of the University's academic strategy for postgraduate research provision and promoting postgraduate research provision;
3. Identifying and monitoring the resources, facilities and systems of the University for postgraduate research students and supervisors;
4. Acting as an Assessment Board for the MPhil and all doctoral programmes;
5. Monitoring and reporting on the Master of Philosophy and all doctoral programmes.

Delegations of Authority

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

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

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

Membership

The University Postgraduate Research Board is comprised of two separate Boards with distinctive functions:

University Postgraduate Research Board of Studies (UPRBOS):

Dean of Graduate Research School;

Associate Dean (Postgraduate) from each faculty or alternative;

Postgraduate Research Office Manager / Director from each faculty or alternative;

Manager, Graduate Research School;

Graduate Research School Portfolio Leader, Policies and Progression

Deputy Vice Chancellor (Ex Officio)

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

University Postgraduate Research Assessment Board (UPRAB):

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

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

Governance

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

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

UNIVERSITY POSTGRADUATE RESEARCH BOARD 2026 MEETING SCHEDULE

Meeting Date Normally the 3rd Tuesday of Month	Agenda Closure Date
17 February	2 February
17 March	2 March
21 April	8 April
19 May	4 May
16 June	2 June
21 July	6 July
18 August	3 August
15 September	31 August
20 October	5 October
17 November	2 November
8 December (Assessment Board only)	23 November

Faculty Boards

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

Boards of Studies

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

Assessment Board

Each programme has an assessment board[1] (formally called an examination board) which monitors individual student achievement and recommends the granting of qualifications.

Auckland University of Technology Ethics Committee (AUTEC)

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

AUT policy is that all staff or student research involving human participants or human data must receive approval from AUTEC prior to commencing. There are some exemptions.

AUTEC membership is structured to include appropriate medical, scientific and other disciplinary research expertise, as well as lay community representation. AUTEC also maintains a balance of cultural and gender diversity. This ensures that the committee has the experience, skills, knowledge and perspectives to review research proposals, ensuring they meet or exceed established ethical standards.

AUTEC includes faculty representatives, appointees of senior leadership, and individuals with experience and expertise including:

- Ethical and moral reasoning;
- Te reo Māori, tikanga Māori, and te ao Māori;
- Pasific knowledge and worldviews;
- Law;
- Provision of health and disability services;
- Perspectives of wider community (e.g. the perspectives of health and disability consumers, perspectives of ethnic communities);
- Intervention studies;
- Observational studies;
- Reviewing of qualitative or quantitative research;
- Perspectives of student community (an AUTSA representative).

Comprehensive information about AUTEC can be found online at:
aut.ac.nz/research/researchethics

[1] The University Postgraduate Research Board acts as the Board of Studies and Assessment Board for the Master of Philosophy and doctoral programmes.

SUPPORT AND RESOURCES

Graduate Research School

The Graduate Research School (GRS) has overall responsibility for maintaining the formal University record of each student's path through the Master of Philosophy and Doctoral research qualifications. The GRS provides administrative support for the University Postgraduate Research Board, as well as liaising with faculty postgraduate offices. It is responsible for the enrolment of Doctoral and Master of Philosophy students and administration of the research component[1] examination process.

Researcher Education and Development

The GRS provides development opportunities to help postgraduate research students (and their supervisors; see p.67) to enhance their research capability. The Researcher Education and Development team is responsible for ensuring that the research environment at AUT supports the growth of capable, confident researchers.

Postgraduate research students can access the following researcher development opportunities:

- Postgraduate Workshops
- Postgraduate Research Symposium
- 3 Minute Thesis Competition
- Research Week
- Doctoral Inductions
- Writer's Retreats
- Postgraduate Mix 'n' Mingles
- Thesislink Blog
- Research Students' Peer Groups

Postgraduate Workshops

The series involves a wide range of workshops throughout the year, providing opportunities to develop research skills as well as engage with staff and students from all areas of the University. The workshop programme is available to all currently enrolled graduate research students. You can find further details on seminars and bookings via the eLab website (you'll need your student log in credentials): elab.aut.ac.nz

Postgraduate Research Symposium

The GRS hosts an annual Postgraduate Research Symposium where research students can present their work. Students can apply to deliver oral presentations, creative exhibitions, and/or poster displays. The application process mimics that of academic conferences, and support is provided to help students refine their abstracts. On Symposium day, all are welcome to attend a keynote presentation and a full day of student presentations grouped into themed sessions.

3 Minute Thesis Competition

AUT participates in the international 3 Minute Thesis (3MT) competition coordinated by the University of Queensland. Doctoral research students are invited to present their research in just 3 minutes, with just one static slide. The top competitors from the heats will progress to the AUT 3MT finals, where they will compete for the Doctoral 3MT title and the chance to represent AUT at the Asia-Pacific finals. Great prizes are on offer, and the GRS provides support to help competitors craft their presentations.

[1] The term 'research component' may include a thesis, dissertation, research project or exegesis.

Research Week

Research Week is an annual event bringing together researchers at all levels for sharing, learning, and collegiality. This is an opportunity for postgraduate research students to build their networks, learn about others' research, and disseminate their own. The week also features workshops, panel discussions, and social events.

Doctoral Inductions

The GRS facilitates an induction programme for new doctoral students. This provides:

- An introduction to being a research student at AUT
- An overview of doctoral processes and milestones
- An introduction to the resources and support available
- The opportunity to meet and talk with other research students

Once a student has been offered a place in a doctoral programme, the GRS will issue an invitation to the next induction. Attendance is highly recommended.

Writers' Retreat

The GRS facilitates Writers' Retreats for postgraduate research students to provide quiet writing time away from AUT. There will be significant time available for independent writing as well as consultations with academic writing experts. Students will need to apply and will receive an email from the GRS inviting them to do so. Preference will be given to research students who have not previously attended a retreat, and the selection will be based on the justification for attendance. The GRS will cover all costs, including meals.

Postgraduate Mix'n'Mingles

Postgraduate research students are invited to attend our mix 'n' mingles to take a break from research and socialize with other students. These events include free non-alcoholic drinks & nibbles, and often feature guest speakers or presentations in a casual setting. Some events also feature award ceremonies for doctoral scholarship recipients. Check online for details of upcoming events:
aut.ac.nz/research/postgraduate-student-support/events/social-events

Thesislink Blog

Thesislink is a research blog that provides information, tips and tricks, stories, commentaries and suggestions about research from the GRS team and AUT graduate research students. Thesislink is a hub for dialogue between research students, staff and supervisors. Share your ideas, discover what's new in the research world, and find out about upcoming events. You can stay up-to-date by subscribing to receive new posts via email, or follow the blog on Facebook. Visit the blog at thesislink.aut.ac.nz

Research Students' Peer Groups

AUT has a network of groups where research students can meet, socialise, and talk about their work with like-minded peers. Each of the groups is student-led, and each focuses on a particular theme or shared interest. Check online for a current list of groups, or contact Dr Anaise Irvine (anaise.irvine@aut.ac.nz) to find out more.

aut.ac.nz/research/postgraduate-student-support/student-community/student-peer-groups

Finding information on GRS Researcher Development Opportunities

The GRS keeps students and staff informed of upcoming researcher development opportunities through our monthly e-newsletter. All currently enrolled graduate research students are

automatically subscribed to the e-newsletter. Students who do not wish to receive these communications can unsubscribe at any time by following the unsubscribe links within their email.

More information is always available via the Thesislink blog and the AUT website. At either of these sites you can also download our Postgraduate Researcher Development Planner, which shows how each of the above events and resources can best assist with different research activities at different stages of your research journey.

Statement of Minimum Resources for Doctoral and Masters Research Students

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

In addition to project resources approved in the budget section of the research proposals and the Confirmation of Candidature form (see page 166 for details on forms), the University, through the Head of School, makes a commitment to support research students by providing access to the following:

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

Access to:

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

Note:

- The resources referred to in this policy do not include human resources such as supervisory knowledge and skills. These human resources are covered by separate regulations and policies.
- The University encourages students and their supervisors to apply for funding from other sources to support appropriate aspects of their research projects.
- Irrespective of the funding source,

however, Departments and Schools remain accountable for ensuring that (i) appropriate resources are provided and (ii) students are informed about where and how to access the resources.

- Where circumstances beyond the direct control of the student, supervisor and Department/School necessitate an alteration of the research project's cost structure, the Department/School is responsible for ensuring that the project continues to be resourced.
- Where research costs exceed the faculty research reimbursement amount (or other funding), the student will be required to cover the excess cost.

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

Refer to the Postgraduate Research page on the AUT Website.

University Postgraduate Study Rooms

Postgraduate Study Rooms are located on the City (WU415), AUT North Campus (AL210) and AUT South Campus (MA206). These postgraduate study rooms provide a variety of resources for postgraduate students' convenience. Undergraduate students are not permitted access to the study rooms and postgraduate students are requested to respect the facilities provided.

Shared facilities include:

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

The Study Rooms can be accessed between 6am–10pm by means of swipe cards. Postgraduate students should contact their campus Security Office to obtain a swipe card to the room, this can be arranged during normal office hours.

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

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

Library and Learning Services Te Mātāpuna

The Library and Learning Services – Te Mātāpuna, is located on three campus sites:

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

Library Homepage

library.aut.ac.nz

The Library homepage is the gateway for:

- Searching and accessing library resources;
- Accessing online tutorials and subject guides;

- Communicating with librarians – chatting with librarians and sending enquiries online;
- Finding general library information, such as, loan policies, opening hours and library contact details.

Information Resources

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

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

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

Get items from other libraries

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

Learning Advice

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

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

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

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

Research Support

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

- Specialist librarians in the Research Services team provide assistance to all researchers. Make an appointment for an in-depth research consultation with your specialist research librarian.
- There are Library workshops and webinars specifically for postgraduate students. Online booking is available from the Library website.
- You can find online tutorials, subject guides and research guides from the

Library website.

- Guidance and advice on copyright issues is also available on the Library website

Contact Team Leader Research Services Luqman Hayes luqman.hayes@aut.ac.nz for any enquires.

Distance Library Service

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

Computing Resources

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

AUT Network and Internet Login

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

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

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

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

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

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

IT Service Desk

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

Funding for Research

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

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

Information on available funding can be obtained from the University Scholarships Office, Te Kahui Poipoi Rangahau- AUT Research Office, faculty offices, programme leaders, faculty postgraduate administrators, and research supervisors.

Scholarships Office

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

the application process. aut.ac.nz/scholarships

Te Kahui Poipoi Rangahau- AUT Research Office

Te Kahui Poipoi Rangahau (TKPR)- AUT Research Office is responsible for the authorisation of all external applications to research funders (with the exception of some scholarship providers) . It maintains a calendar of funding opportunities which can be accessed via the University Intranet.

TKPR also works with Faculty to provide assistance to postgraduate students applying for external research scholarships. All applications must be completed and submitted via Research Elements (the University's research management system) not less than 8 working days before the funder's deadline.

For information or enquiries contact your Faculty Research Office, see page 158 for contact details.

An online search tool is available for both internal and external audiences to search for academics, field of interest, or potential supervisors at academics.aut.ac.nz

AUT Ventures Ltd

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

Student Services

Along with Faculties and Graduate Research School (GRS), Student Services provide a wide range of support and advisory services to help postgraduate students succeed at AUT. Contact numbers for the above Student Services are listed on page 160, or refer to the student support services webpage at student.aut.ac.nz/support-services

Student Hub

The AUT Student Hub is one of the places to go for help. Located on each campus, the Student Hub gives you access to a range of services and support to help you succeed at AUT.

There are two dedicated Postgraduate Student Advisors who can support postgraduate research students with navigating wellbeing, financial or academic progress challenges. You can book a time to meet with an advisor via MyAUT or email them at postgrad.support@aut.ac.nz.

Student Hub Advisors are also able to assist you with your study or personal needs, and will either resolve your need on the spot, or put you in touch with the right person on campus. Our trained and professional staff will follow up to ensure you get the support you need. aut.ac.nz/studenthub

AUT Student Association (AUTSA)

The AUT Student Association provides a range of services and representation for AUT's diverse student body. The association also provides opportunities and activities for students such as events, volunteering, and clubs.

For more information about AUTSA, please email autsa@aut.ac.nz or refer to the webpage autsa.org.nz for contact details and locations on the City, North and South campuses.

Student Representative Council (SRC)

The elected Student Representative Council is led by the student president and vice president and includes representatives from all three campuses, faculties and portfolio officers for disabilities affairs, Māori affairs, Mature students, Pasifika affairs, International students, Postgraduate students, diversity affairs and student wellbeing. For general enquiries, please email autsa@aut.ac.nz.

Student Advocacy

The advocacy team provides confidential and free advice to students. The team can help with disciplinary matters, tenancy advice with accommodation, employment (they can only give legal information, not legal advice), study concerns and formal complaints. To book an appointment, email advocacy@aut.ac.nz or phone or text 021 195 1178.

Employability and Careers

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

- Improve your CV, job search or interview techniques through workshops and our online interview practice tool (InterviewStream).
- Increase your networking skills by attending speaker series, career fairs, workshops and presentations.
- Make contact with employers looking for students for co-operative education, work experience placements or voluntary work through eLab, speaker series and career fairs.
- Review your career direction or figure out whether you're in the right programme by talking to a career specialist.

aut.ac.nz/student-life/opportunities-and-careers/employability-and-career-support

Orientation

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

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

Student Accommodation

AUT has three residential complexes: Te Āhuru Mayoral Drive Student Accommodation at AUT City Campus, Wellesley Student Apartments at AUT City Campus and Akoranga Student Village at AUT North Campus.

Te Āhuru Mayoral Drive Student Accommodation (WQ) is a brand new property close to AUT's central campus in Auckland. Mayoral Drive offers 697 studio apartments – each with a with a bed, kitchenette and bathroom – and also has a recreation centre and sports court, and shared study, social and dining spaces. The building is just a one-minute walk across Wakefield Street to the City Campus and is close to public transport links – making it convenient on-campus living, with a vibrant residential community programme to help you get to know your neighbours.

Wellesley Student Apartments (WSA) is

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

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

AUT International

AUT International staff are available to assist students with Western academic study, provide information and advice on life at AUT, campus services, academic regulations, enrolment and programme selection and answer questions about living and studying in Auckland.
aut.ac.nz/international

Student Medical Centre

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

The Student Medical Centre is a member of Auckland PHO. Domestic students who register with the service may be eligible for free routine doctor and nurse consultations[1].

AUT City Campus

Location: WB219

8am – 4pm | Mon/Wed/Friday
10am – 4.30pm Thursdays

Phone: (09) 921 9992

AUT North Campus

Location: AX100
(3 Akoranga Drive, Northcote)

8am – 4pm | Mon/Wed/Friday
10 – 4pm Thursdays
Phone: (09) 921 9998

AUT South Campus

Location: MB109 (Nursing services only)

Phone: (09) 921 9992

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

Domestic students who are studying at the South Campus can enrol with one of four local Medical Practices and receive three free GP consultations with that practice.
aut.ac.nz/student-life/student-health-and-wellbeing/student-medical-centre

Student Counselling and Mental Health

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

AUT City Campus

Location: WB203

8.30am – 4.30pm | Monday to Friday

Phone: (09) 921 9292

AUT North Campus

Location: AX100
(3 Akoranga Drive, Northcote)

8am – 4pm | Monday to Friday

Phone: (09) 921 9292

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

AUT South Campus

Location: MB107b

8.30am – 4.30pm | Mon/Wed/Friday

Phone: (09) 921 9292

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

ADMISSION

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

PROGRAMME INFORMATION & ENTRY CRITERIA

Note:

- Faculties may submit students' work through Turnitin as part of the approval process.
- Meeting academic entry requirements does not guarantee admission to the programme.

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

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

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

Higher Doctorate

Characteristics

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

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

Higher Doctorates may be of two types:

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

Eligibility

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

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

The scope of practice for a DLitt includes evidence of an original contribution of excellence in philosophical, social, cultural, historical, or linguistic knowledge

– evidence that is considered to have international and authoritative standing in their discipline/field.

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

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

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

Application to a Higher Doctorate

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

Every application shall consist of four copies of the following:

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

Doctoral Degrees

Level and Characteristics

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

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

- Demand extensive knowledge of the wider subject in which the topic for intensive investigation is situated;
- Conduct pure or applied research, creative planning and design, practical work and original scholarship to international standards, with graduates demonstrating well-developed skills of research, critical analysis and application so as to demonstrate independence of thought in their area of specialisation;
- Require sustained self-directed study and independent work;

- Require excellent communication skills for creating, synthesising, evaluating and persuading;
- Expect graduates to participate in international academic discussion in their field of study;
- Expect a tangible output that is an original contribution to knowledge in a discipline or field of study to an international standard.

Doctorates may be of two types:

- Doctor of Philosophy (PhD): the thesis constitutes the entire body of work on which the qualification is judged (i.e. does not contain coursework component) this may be presented in one of three possible formats – see page 53;
- Professional doctorates: a doctorate in a specified field or discipline.
  A coursework component (papers) forms part of the programme along with a thesis.

Graduate Profiles

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

Doctor of Philosophy Graduate Profile

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

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

Doctor of Education Graduate Profile

A Doctor of Education graduate will be able to:

- Construct and apply advanced theoretical concepts and knowledge to investigate

professional practice;

- Apply an in-depth knowledge based on theoretical and empirical investigation of a specific topic or issue;
- Understand a range of philosophical and methodological issues of significance in educational research in New Zealand, the Pacific and the global context;
- Critically analyse past and current social, political, economic and cultural forces in both local and global society and appreciate how they impact on educational practice and policy;
- Generate new knowledge in a chosen educational field or issue;
- Critically appraise relevant scholarly literature and cultural knowledge(s);
- Work in both collaborative and individual learning approaches in order to better confront problems and issues;
- Encourage greater co-operation, understanding and debate across the sectors in education on contemporary issues;
- Demonstrate recognition of a range of professional and ethical issues and responsibilities, within the context of education research and scholarly activity;
- Be able to use the confidence of their knowledge to make critical commentary on relevant and topical issues in their field of study;
- Use their enhanced qualities of leadership to incorporate informed decision-making based on the analysis of evidence drawn from multiple cultural sources;
- Appreciate and demonstrate a commitment to the principles of the Treaty of Waitangi and to the inscription of difference and its politics related to pedagogy.

Doctor of Health Science Graduate Profile

A Doctor of Health Science graduate will be able to:

- Demonstrate advanced specialist/ discipline knowledge that makes an original contribution to a particular field of enquiry and as appropriate to local and global communities;
- Demonstrate a high level of understanding and appreciation of the philosophical basis, methodologies and characteristics of scholarship, research and creative work in their field of study;
- Demonstrate an advanced capacity for critical appraisal of relevant scholarly literature/knowledge;
- Demonstrate an advanced ability to initiate, design, conduct, sustain and report research;
- Prioritise and apply Te Tiriti o Waitangi and principles of equity and cultural and ethical safety to professional practice;
- Demonstrate a critical understanding and appreciation of the acquisition of knowledge and professional learning for work practice;
- Demonstrate significant expertise through the research, practice/ work, leadership or management roles in their field of study;
- Demonstrate an advanced capacity to communicate ideas effectively to a range of audiences inside the field of study or discipline and to the wider community;
- Analyse, question and critique practice issues within the socio-political environment that is Aotearoa/New Zealand;
- Enact leadership within their domain of practice.

Doctoral Entry Criteria

Note:

- Meeting academic entry requirements does not guarantee admission to the programme.

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

In order to be admitted to a doctoral degree, an applicant shall normally have completed the following requirements:

- A master's degree; OR
- A bachelor honours degree which is equivalent to 4 years of study, with the last year at postgraduate level (which is equivalent to a New Zealand Bachelor Honours degree).

AND

- The degree must normally have been gained at the standard of first class or second class (first division) honours from a New Zealand tertiary institution or equivalent;
- The degree must also have included advanced learning in research, the execution of a research project and the writing of a report on that research (this must include the components outlined in the definition of research detailed on page 50);
  - A master's degree should include a minimum of 40 points of research (or equivalent)
  - A bachelor honours degree should include a minimum of 30 points of research (or equivalent)
- In addition, a professional doctorate applicant must provide evidence of having a minimum of five years' professional experience in their specific area of study.
- Doctor of Health Science applicants who do not demonstrate the criteria above can provide evidence of equivalence where they have:
- Authored a substantial practice project report or other research paper/ publication;
- Been a leading player in a significant change project and write up of research.

Where it is not clear from a student's academic transcript that their research component states a clear equivalence to the required research for entry to an AUT doctorate, the supervisor must read/review the research undertaken in the admitting qualification and state (within the Admission to Doctoral Programme form) that they deem that it is of a suitable standard and shows equivalence to advanced standing in research for entry to the AUT Doctoral programme.

The evidence submitted should show the equivalence of research competency that is equivalent to the standard admission requirements, in a discipline which is appropriate to the proposed research.

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

- Applications with professional, coursework only, terminating 180 point master's degrees will not normally be able to proceed directly to doctoral studies, and would be expected to complete a master's degree by research first.
- Applicants who do not meet the standard entry criteria are required to provide a letter of support from their supervisor with their application. A letter of support for admission should focus on the

applicant's:

- Competency/knowledge of the methodology and methods to be undertaken and that this knowledge is current;
- If the research component is minor (less than 40 points of research within a master's programme or 30 points of research in a bachelor with honours programme), then the supervisor has seen the written report and can affirm in writing that it is equivalent to master's level research;
- When the admitting qualification is older than 5 years that there is evidence of currency within the discipline;
- Where the application is borderline in meeting the criteria, recommend possible conditions.

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

Research Components

The term 'Research Component' will be used through the Postgraduate Handbook and includes thesis, dissertation, research project or exegesis. See page 50 for further information on research descriptions and definition.

Master's Degrees

Students undertaking research within a master's programme are required to go through an approval process which may include the completion of the Postgraduate Research Proposal form, or equivalent, which is approved through the Faculty Postgraduate Committee.

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

Outcomes

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

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

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

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

Master's degrees are structured in three main ways:

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

2. Master's degrees by coursework and research: Master's degrees by coursework and thesis are normally either 180 or 240 points and includes, coursework and a research component. A master's degree by coursework and thesis must include at least a 90 point thesis at level 9 and may include between 90-150 points of coursework at level 8.
3. Master's degrees by coursework-level and characteristics: Master's degrees by coursework are normally between 120 and 180 points if building on an undergraduate degree. Master's degrees by coursework do not include a thesis but must have at least 40 points at level 9 usually in the form of a capstone research project.

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

Entry Criteria for Master's Degrees

Master's degree (180 or 240 points)

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

- Bachelor's degree;
- Graduate diploma.

In exceptional circumstances they may include:

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

Master's degree (120 points)

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

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

In some circumstances:

An undergraduate degree followed by relevant professional experience.

Master of Philosophy Degree Level and Characteristics

- The goals of the Master of Philosophy is to enable a student who has successfully completed approved and supervised research, to:
- Critically investigate an approved topic of substance and significance;
- Demonstrate independent thinking;
- Demonstrate expertise in the methods of research and scholarship;
- Make a significant contribution to the subject area or discipline;
- Cogently present scholarly and publishable outcomes.

Master of Philosophy Graduate Profile[1]

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

- Initiate, design, conduct, sustain, and report on a research project in a logical and critical manner;
- Critically reflect on and appreciate the acquisition of knowledge and professional learning;
- Be self-motivated and demonstrate independent thinking within their field of study;

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

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

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

Admission

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

Supervisor Support Statement

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

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

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

Completion Requirements:

- To qualify for the Master of Philosophy, a student must achieve 120 points by successfully completing a thesis.

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

Postgraduate Diploma and Certificate Qualifications

Level and Characteristics

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

Entry Criteria

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

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

- A bachelor's degree;
- A professional qualification recognised by the University as being equivalent to a bachelor's degree;
- Evidence of professional experience deemed by the University to be equivalent to a bachelor's degree;
- Where the admission qualification does not provide a basis for study at postgraduate level, enrolment in transitional studies may be required before the applicant is admitted to the programme.

Bachelor's Degrees with Honours

Level and Characteristics

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

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

Entry Criteria

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

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

Please refer to the AUT Academic Calendar, Standard Qualification Regulations for information on specific programme regulations and admission requirements for AUT's postgraduate programmes.
aut.ac.nz/about/auts-leadership/official-aut-publications

Attendance Requirements

The University has to be satisfied that:

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

APPLICATION REQUIREMENTS

Note:

- Individual faculties determine the closing date for postgraduate applications. Applicants should contact faculty postgraduate offices directly for these. Applications for the Master of Philosophy and Doctor of Philosophy are considered for four possible intakes 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, or exegesis, must provide a research proposal as part of their admission requirements;
- Doctoral students initially enquiring about undertaking a thesis should prepare a brief initial research concept proposal that is one page, size 12 font for consideration;
- Faculties may submit students' work through Turnitin as part of the approval process.
- Meeting academic entry requirements does not guarantee admission to the programme.

Domestic Applicants

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

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

International Applicants

International applicants need to complete an International Student Application for Enrolment form. Applicants can apply online at apply.aut.ac.nz

English Language Requirements

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

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

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

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

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

The Certificate in English for Academic Study is recognised by AUT as a

qualification which measures English language proficiency. However, for doctoral programmes, teacher education programmes and health science programmes this is not sufficient and IELTS must be used to demonstrate English language proficiency.

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

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

IELTS admission scores for qualifications can be found here:
aut.ac.nz/study/applying/entry-requirements/english-language-requirements

English Language Test Waiver (Doctoral and MPhil applicants only)

Note: The University has the right to request that a recognised English language test be undertaken even if the student has studied a postgraduate qualification in English.

Medium of Instruction (MOI)

Where applicants have studied a postgraduate qualification from a recognised institution within the last three years, and the main Medium of Instruction (MOI) and assessment for that qualification was English, the applicant may be eligible for a waiver of the requirement to complete a recognised English language test.

A face-to-face discussion (online or in person) between the applicant and proposed supervisor (or Associate Dean (Postgraduate) or nominee), is required to determine that the supervisor is comfortable with the applicant's English communication for the purposes of postgraduate research study, and that the applicant is suitable in terms of supervisory fit, including their ability to engage in scholarly discussion at the required level. This does not replace the formal English language testing, where such testing is required.

It should be noted that at any point during the admission process, the University has the right to request that a recognised English language test be undertaken, that meets the entry requirements, even if the student meets the requirements for an English Language test waiver.

The waiver of the requirement to undertake an English language test will be determined on a case-by-case basis by the University Postgraduate Research Board (or nominee).

International Applicants to the Doctor of Philosophy Programme

Note:

International students are required to study full-time to be eligible for domestic fees. Therefore, requests to study part-time may not be approved.

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

- Enrolled full-time in a PhD programme at a NZ University;
- Resident in NZ for the duration of their study.

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

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

In the first instance, applicants for Doctoral and Master of Philosophy programme should complete an Application for Enrolment. apply.aut.ac.nz

Negotiation with and appointment of a suitable supervisor(s) is part of the admission process and will be considered once the applicant has applied for the programme.

Once agreement has been reached that the faculty can accommodate the applicant and proposed research, the student will be issued with an Offer of Place.

Application Processes

Interviews or Additional Information

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

What can delay an application?

There are several things that may delay your application:

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

Preparation Course for Doctoral and Master of Philosophy Research Proposal

Note: Applicants are able to be enrolled in a course which does not constitute eligibility for student loans and allowances or acceptance onto the programme. This enrolment would normally be offered only once.

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

Enrolling in the Research Proposal Preparation Course:

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

Transfers

Note:

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

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

Transfer form

Confirmation of Candidature form

In exceptional circumstances, a student enrolled in an AUT research master's

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

degree who has completed the coursework component of that degree and has completed a significant portion of the research, may apply to the University Postgraduate Research Board for consideration for admission to the Doctor of Philosophy programme as a confirmed students (completing the Transfer form and Confirmation of Candidature). This should be discussed with the supervisor(s) and Associate Dean (Postgraduate).

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

Evidence of the following must be provided:

Nature of Research Topic

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

Student Performance

A student should have a record in the master's degree which demonstrates consistent quality research and scholastic achievement, including the ability to complete work within expected timeframes.

Research Skills and Achievement

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

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

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

Transfer form

Note:

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

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

the master's programme).

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

- Transfer form;
- Timeline to completion;
- A supporting statement from the supervisor(s)

Transfer of Doctoral Candidature from another Institution to AUT

Transfer form

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

- Completed Transfer form;
- If the application is transferring as a provisional admission, a copy of the current institution's equivalent to AUT's Admission to Doctoral Programme form will be required. If the applicant is transferring as a confirmed admission, a copy of the current Institution's equivalent to the Confirmation of Candidature form will be required;
- Progress reports and additional information may also be requested.

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

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

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

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

Notification

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

Any conditions of admission will be identified in the letter.

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

Study Location

All research students will normally be required to conduct their study on one of the Auckland based AUT campuses. However, in some circumstances a student may need to change their study location, either within New Zealand or offshore either permanently or temporarily for data collection.

Where a student needs to change from studying on-campus to off-campus (either within New Zealand or offshore) on a permanent basis they should refer to the

Change of Study Location (previously Off-Campus Registration) section on page 101.

Where a student is required undertake data collection, they are able to be temporarily off-campus (either within New Zealand or offshore) for a period of up to twelve months. Refer to the Notification of Research Related Travel section on page 102.

Children's Act (2014)

The Children's Act is legislation that requires a safety audit for everyone working with children, including students on practicum. Students who have sustained contact with a child or children will need to meet the requirements of the Children's Act.

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

Clinical Trials

Clinical trials involving any of the following participant groups must notify the Senior Financial Accountant within AUT Financial Services prior to commencement:

- Participants under 5 years old
- Pregnant participants
- Participants located outside of New Zealand and Australia (includes studies where some participants are based in New Zealand and some are overseas).

Clinical trials involving these participant groups may require changes to the University insurance coverage and failure to notify AUT Financial Services of these trials may result in insurance coverage being affected or potentially voided.

ADMISSION AND ENROLMENT

Admission to Doctoral Degrees[1]

Applying for Admission

Admission to a Doctoral Programme form

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

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

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

- Faculties will approve the research proposal and submit the application to the Graduate Research School (GRS) who will admit the student and notify the Board. Where the standard entry criteria are not met, the GRS will refer the application to the Dean of Graduate Research School;
- Applicants are normally informed of the outcome of their application via email by the Faculty and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the admission letter will be an Offer of Place which can be accepted online or signed and returned to the University Admissions Office. The formal date of admission will be the date on which the University Postgraduate Research Board accepted the application;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering involving human or animal subjects. See page 84 for ethical requirements, including when collecting data overseas.
  For information regarding the deferment of an enrolment, please refer to Deferment of Enrolment "Variations to Candidature" on page 103.

Transitional Studies

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

Provisional Admission

Note:

- Prior to commencing the preparation of the Admission to Doctoral Programme

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

form), students would normally have discussed and confirmed supervision arrangements with the Associate Dean (Postgraduate) and completed an their online Application for Enrolment (AFE), including submission of all required documentation.

- All forms are required to be signed by all members of the supervisory team (including mentors if appointed)

Doctoral applicants are granted provisional admission while the full research proposal (Confirmation of Candidature form) is being developed. The student is expected to commence the confirmation of candidature review process after 9 months for full-time, or 18 months for part-time of provisional admission to the doctoral programme with a view to submit the completed Confirmation of Candidature form to the University Postgraduate Research Board within 12 months full-time or 24 months part-time, of provisional admission.

Professional doctorate students will normally submit a full research proposal (confirmation of candidature) at the end of the last coursework component.

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

Provisional Admission (with conditions)

Sometimes students who are granted provisional admission to a doctoral degree are required to meet specific conditions prior to, or during, the period of provisional enrolment. These conditions are specified by the University Postgraduate Research Board and may include additional courses in the discipline area as well as reading courses, a research reports or courses in research methodology. The Board imposes these conditions in order to ensure that the student has the requisite knowledge and competencies required for full registration. If the condition(s) are not met within the specific timeframes mentioned in the offer letter, the student could be withdrawn from the programme.

Normally, students will be required to pass these courses with a 'B' grade or higher, although other grades may be prescribed as appropriate. When a 'B' grade is stated in documents it is a 'B' grade only that is acceptable. When a 'B grade-range' is stated in documents this means it can be from a 'B-' to a 'B+'. Students who do not achieve the required grade, will be allowed to re-sit the course once, and where applicable, the confirmation of candidature process will be deferred accordingly.

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

For courses added as a condition of admission for professional doctorates, enrolment in these courses may occur prior to or concurrent with their enrolment in the programme and will be eligible for a fee waiver for the course(s).

Special Admission

If an applicant does not meet AUT's standard admission requirements, a special admission application may be considered by completing the special admission section

on the Admission to a Doctoral Programme form. In considering this special admission application the University Postgraduate Research Board will consider evidence that demonstrates equivalence to the standard admission requirements. Please refer to page 28 for details on what should be included in your support statement.

In considering a special admission application the University Postgraduate Research Board will review the following:

1. Evidence of experience, qualifications and/or training that is equivalent to the standard admission requirements for the programme being applied for.

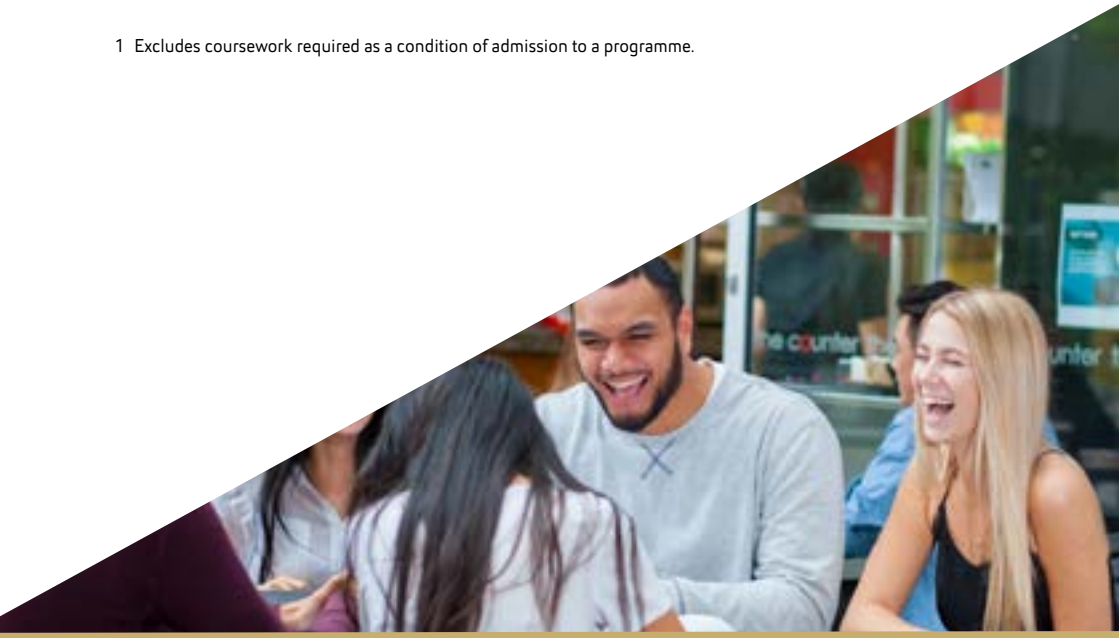
2. Evidence that shows the applicant has the potential to be successful in the programme.

It is the responsibility of the applicant to provide such evidence as part of their application for special admission.

Additional Coursework Enrolments/ Simultaneous Enrolment in More Than One Programme

Postgraduate research students intending to enrol in any additional coursework[1], over and above their current programme of study must first consult their Faculty Associate Dean (Postgraduate) and seek approval prior to enrolment in the additional course or programme.

1 Excludes coursework required as a condition of admission to a programme.



ADMISSION TO MASTER'S AND BACHELOR WITH HONOURS DEGREES

Postgraduate Research Project Proposal form

Entry Criteria

Please refer to the Admission and Enrolment section – Entry Criteria on page 30.

Applying for Admission to the Master of Philosophy Degree

Applicants must complete a Postgraduate Research Proposal form.

- The faculty postgraduate committee will approve and submit the application to the GRS who will admit the student and notify the University Postgraduate Research Board. Where standard entry criteria are not met, the GRS will refer the application to the University Postgraduate Research Board;
- Applicants are normally informed of the outcome of their application via email by the Faculty and in writing by the GRS. Any conditions of admission will be identified in the letter. Accompanying the admission letter will be an Offer of Place which can be accepted online or signed and returned to Registry Services. The formal date of admission will be the date on which the University Postgraduate Research Board accepted the application;
- It is incumbent on the student and supervisors to ensure that any requirements for ethical approval have been met prior to commencement of the data gathering. See page 103 for ethical requirements, including when collecting data overseas.

For information regarding the deferment of an enrolment, refer to Deferment page 84.

Approval Process for the Research Component of a Degree

Note:

- For programmes that have a research component of less than 90 points, please refer to page 46 for details on the forms and processes required.
- Faculties may submit students' work through Turnitin as part of the approval process.

For research only master's degrees:

Students must complete a Postgraduate Research Proposal before an Offer of Place will be issued for the research component course:

- The proposal is submitted to the faculty postgraduate committee for approval;
- Once approved, an Offer of Place will be issued and the School will enrol the student into the research component;
- 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.

Postgraduate Research Proposal form.

For 240 and 180 master's degrees with a research component:

Once the coursework component of the programme has been successfully completed students must complete a postgraduate research proposal (or alternative detailed on page 46) before commencing their research component:

The proposal is submitted to the faculty postgraduate committee for approval;

- Once approved, the School enrols the student into the research component;
- 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.

Postgraduate Research Proposal form.

For Bachelor Degrees with Honours:

Students must complete a postgraduate research proposal (or alternative detailed on page 46) before commencing their dissertation:

- The proposal is submitted to the faculty postgraduate committee for approval;
- Once approved, the School enrols the student into the research component;
- 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.

Postgraduate Research Proposal form.

Conditional Admission

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

Notification

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

Research Components of Less than 90 Points

The research proposal process for research components less than 90 points are detailed below. Research components of less than 90 points are normally termed a "Project" or "Dissertation". Any research component of 90 points or above, normally termed a "thesis", should adhere to the admission processed detailed on page 44.

The process that a research component uses should be clearly articulated in the specific programme guide.

Proposals

Note:

- The Associate Dean (Postgraduate), in collaboration with the Faculty Postgraduate Committee, will determine what research proposal process (detailed below) each programme will follow. The research proposal process cannot be determined by a student or supervisor.
- For research that is of a short duration e.g. semester based (12 weeks), it is not

[1] University Postgraduate Research Board for the Master of Philosophy.

advisable to undertake a project that requires ethical approval.

- Where ethics is required, it is incumbent on the student and supervisors or paper leader to ensure that any requirements for ethical approval have been met prior to commencement of recruitment and data collection.

For research proposals where the research component is less than 90 points your Faculty will determine which of the three options listed below is to be followed.

1. The student completes either a Postgraduate Research Proposal form, or similar Faculty/discipline specific proposal, which is approved by the supervisor(s) then submitted to the Faculty for approval.
   - Once approved, the school enrols the student into the research component, or some in some courses the student may be may automatically enrolled into the research component at the beginning of the semester.
2. The student is recommended to conduct a research component using a previously developed research concept, often as part of a broader research programme. The supervisor(s) should approve of the proposal.
   - Students are automatically enrolled into their research component at the beginning of the semester.
3. The research proposal can be processed as an assignment within a taught course, which is managed and approved by the Course Leader. A supervisor should be appointed at the start of the semester.
   - Students are automatically enrolled into their research component at the beginning of the semester.

In all three options:

Eligibility must first be established for research component commencement, including requisite course completion and grades.

A proposal should include all the fundamental components requisite for articulating the planned research, such as relevant background, methodology/methods, and resourcing requirements. The proposal constitutes an agreed plan to be then implemented by the student.

Peer review must occur. In some cases the review may be by an individual colleague, invited by the School. In other cases, the review might be by committee. The individual or committee with the mandate for the review should in all cases approve the final submitted proposal. The final submitted proposal will be subsequent to reviewer recommendations and/or requirements. The review should not be the exclusive responsibility of the supervisor.

Supervision must be established in advance of any proposal completion. The supervision process should include an appropriate supervision agreement, outlining commitment and responsibilities of both student and supervisor throughout the research component. The supervision agreement should be kept on record.

Offer of Place

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

You can accept an Offer of Place online at arion.aut.ac.nz

If you cannot accept your offer on-line; (Some International Applicants may not be able to accept online); you can sign, date and return the Offer of Place you receive via

post. It is important that you return this by the specified date; otherwise you may lose your place on the programme.

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

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

Enrolment

Note:

- Doctoral and Master of Philosophy students will normally be enrolled into their programme in one of four admission intakes throughout the year.
- Students are required to have an active enrolment throughout their whole candidature.

When an Offer of Place has been received and accepted, Doctoral and Master of Philosophy applicants are required to liaise with their supervisors to determine their start date (as per the intake dates below). They should then inform their Faculty Postgraduate Office and the Graduate Research School (pgresearch@aut.ac.nz) who will process the enrolment. All other students will be enrolled by their respective faculties.

Enrolment Intakes

Students newly accepted into their programme will normally be enrolled at one of four intakes throughout the year. These occur on the first Monday of these months:

- Intake One February (apply by 1 Nov)
- Intake Two May (apply by 1 Feb)
- Intake Three July (apply by 1 Apr)
- Intake Four October (apply by 1 Jul)

Applications received after the application date will be considered on a case-by-case basis otherwise the application will be held over for the subsequent start date.

The enrolment will be for a 12-month period. This will generate a fees invoice. When the fees are invoiced, a student identification card will be sent, providing access for borrowing from the Library and other University services. If fees are not paid in full, then services may be terminated.

Note:

- Applications are required to be submitted to Faculty Postgraduate Offices by the 'apply by' date stated above.

Re-Enrolments

Students are required to have an active enrolment throughout the programme. There should be no gaps between enrolments except where a leave of absence is required. In such instances, students are required to request a leave of absence as soon as possible to avoid any issues in processing enrolments. See page 86 for further details.

Where students require an extension the extension request is required to be submitted prior to the end of the current enrolment. See page 85 for further details.

Failure to maintain an active enrolment may result in the unsatisfactory progress process being initiated. See page 89 for further details.

Additional Coursework Enrolments/ Simultaneous Enrolment in More Than One Programme

Postgraduate research students intending to enrol in any additional coursework[1], over and above their current programme of study must first consult their Faculty Associate Dean (Postgraduate) and seek approval prior to enrolment in the additional course or programme.

1 Excludes coursework required as a condition of admission to a programme.

RESEARCH DESCRIPTIONS & FORMATTING

- DEFINITIONS & TYPES OF RESEARCH
- RESEARCH COMPONENT LAYOUT & PRESENTATION
- RESEARCH FORMATS

RESEARCH DESCRIPTION AND TYPES OF RESEARCH

Description and Definitions

The definitions in this Postgraduate Handbook are based on the Committee on University Academic Programmes (CUAP) handbook and further refined by the University Postgraduate Research Board (UPRB) to determine what qualifies as research for doctoral admission purposes

Research Description

"Research is intellectually controlled investigation. It advances knowledge through discovering and codifying new information or developing 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 findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. A long-term and cumulative activity, research is often characterised by fruitful new topics for investigation and unexpected uses for its findings."

Taken from *CUAP Handbook 2024*.

Definition of Research

The University Postgraduate Research Board defines research for the purpose of doctoral admission as follows:

"A thesis, dissertation, or research project that demonstrates defined methodology, critical evaluation, and the capacity for supervised advanced research. Narrative reviews are generally excluded for doctoral admission purposes."

CUAP Definitions of Research Components

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

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

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

A dissertation or research project is submitted in partial support of an academic degree in which the student undertakes an independent scholarly investigation of an appropriate research topic.

Theses

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

There should be an appropriate balance between the different parts of the thesis. In particular, the contribution to the

advancement of knowledge should be clearly distinguishable from the introductory material, the survey of relevant literature, research methodology employed, data analysis and evaluation. The thesis should also acknowledge which work has been performed by the student and where results obtained from other sources have been included.

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

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

Dissertations and Research Projects

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

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

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

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

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

Theses with Practice-Oriented Component[1]

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

Where the thesis is substantially practice-oriented, the artefact should be accompanied by an exegesis. The exegesis

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

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

Guidelines for Presenting in Te Reo Māori

The University is committed to enabling a student to present a research component[1] either in part or wholly in Māori. This must be discussed with the faculty at the time of enrolment in order to ensure that appropriate supervisors and examiners will be available, or where appropriate supervisors or examiners are not available; an approved translation service will be made available.

Please refer to: Refer to the Postgraduate Research page on the AUT website.

[1] The term 'research component' may include a thesis, dissertation, research project or exegesis

FORMATTING AND PRESENTATION

Proofreading

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

The faculties hold lists of preferred proof-readers; please contact your faculty postgraduate office directly. Proofreading guidelines are available on the AUT website.

Turnitin

It is compulsory that research components, except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. See page 117 for further details.

Non-Print Materials

Where the research component is primarily in visual form, non-print material is reproduced in a format suitable for storage and retrieval and must be appropriately packaged. Students should seek the advice from their supervisor in such cases.

Paper Size

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

Research Title Naming Convention

Research component titles are to follow title case, where the first letter of each word is to be capitalised, except for prepositions, articles and coordinating conjunctions.

Typing

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

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

The following minimal margins are recommended:

Left - 2 cm (4 cm if you intend to bind your thesis)
Top and bottom - 2 cm
Right - 2 cm

Research Component Formats

Note: Changing thesis format may not require submission of a new research proposal, or confirmation of candidature for doctoral students. This may only be required if there are significant changes to the research topic.

Three formatting structures can be followed. The research component must have a clear statement of the objective/research questions, outline the theoretical overview that provides the framework for the thesis as a cohesive linked package and show clear evidence of the student's original contribution. All work should follow the structure outlined in the applicable format section (on pages 54-57 with exemplars of chapter formats) but the chapters may vary depending on which presentation option is adopted.

Format One – Traditional Research Structure:

Thesis is presented in the traditional thesis structure.

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

Exemplar Format One chapter format:

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

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

Format Two – Manuscript Structure:

Note:

> Research that has been published or accepted for publication, does not ensure a pass in a doctoral degree. Examiners will judge a student's research on its original contribution to knowledge and scholarship. The thesis must stand on its own merits as a thesis and will be assessed on its totality. Examiners may request changes to any part of the thesis whether the articles have been previously published or not.

Research students may include in their research submission for examination manuscripts that have been prepared as they progress through their degree.

Manuscripts may be work:

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

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

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

The manuscripts should be presented as they have been submitted for the target publication, with the exception that referencing format must be standardised throughout the thesis (the format may be chosen, but clearly nominated in the introductory material). A reference list by chapter may be included, in addition to a final reference list for the entire thesis. The introductory thesis chapter should state how the thesis is structured, including details on direct inclusion of manuscripts as chapters.

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

as a whole, including practical implications, and future research directions.

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

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

Exemplar Format Two Chapter Format

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

Format Two Requirements

The student is required to be the principal author of the manuscript, with a stated contribution which constitutes the leadership and writing up of the work reported in the manuscript(s). Research components including manuscripts must include a signed declaration which specifies the extent and nature of the contribution and co-authors' contribution to each of the manuscripts. A Co-Authorship Contribution Template can be used and inserted into the thesis for examination.

Research Components of 240 points and above are required to have a minimum of **two** manuscripts (in preparation for submission, submitted, or published – as defined above on page 54) prior to submission for examination.

Research components of less than 240 points must have a minimum of **one** manuscript (in preparation for submission, submitted, or published – as defined above on page 54) prior to submission for examination.

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

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

If copyright in the paper(s) is held by the journal publisher(s) the student must obtain written permission to include the published work in the thesis unless publishers' guidelines specifically state that this is allowed. Sufficient time must be allowed for obtaining the copyright holder's permission prior to submission of the thesis for examination. Evidence of permission obtained is to be included in the thesis in the contribution to authorship section of the thesis. On occasion, students may experience difficulty with some journal publishers once the research component has been uploaded to Tuwhera as a similarity will be detected. Students may apply for a short period of embargo to publish before the research component is available for public viewing. For further information on embargos see page 91.

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 proforma letters seeking permission from publishers/third party copyright material" please see library.aut.ac.nz.

Refer to the Postgraduate Research page on the AUT website.

Co-Authored Works

Where the thesis contains jointly authored research papers, case studies and/or any other work published or unpublished the student should be the principal author with a stated contribution which constitutes the leadership and writing up of the work reported in the manuscript(s). Research components including manuscripts must include a signed declaration, by all co-authors, which specifies the extent and nature of the contribution and co-authors' contribution to each of the manuscripts. In addition, as the principal author, the student may be asked by their examiners to describe their role in the manuscript in relation to other co-authors.

Unless otherwise specified via a formal agreement, the intellectual property rights for the research being undertaken as part of a student's formally approved study leading to the qualification they are enrolled in resides with the student.

Refer to the AUT Co-Authorship Protocol and Agreement on the AUT Website.

Resolution of Disagreements

If there is a disagreement with regard to authorship attribution, supervisors must be aware of and considerate with the power imbalance that exists between them as supervisors and established scholars in their area of expertise, and the student they are supervising. If the disagreement is unable to be resolved then the parties involved may seek the advice of the relevant Faculty Associate Dean Postgraduate and/or the Dean of the Graduate Research School.

Format Three:

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

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

Where an in-person exhibition or performance is required as part of the examination, this must be clearly specified in the student's admission proposal. The necessary resources must be approved by the Head of School to ensure that costs associated with the exhibition or performance, as well as examiner travel, can be planned for in advance.

The mode of presentation to the examiners will be decided in consultation with the supervisors, and the programme leader. Where there are no cost constraints, the student may choose to present a visual/verbal presentation to the examination

panel. The student is required to offer a record of such a presentation to the examiners. For guidelines on research component length see page 58.

An artefact may be, but is not limited to:

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

A performance may be, but is not limited to:

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

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

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

Exemplar Format Three Research Component Chapter Format:

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

Guidelines on Research Component Length

Note:

- The research component lengths stated below are the normal requirements. However, students should consult with their supervisors on what is appropriate for their topic, methodology or discipline norms.
- Research component length includes everything from the introduction to the conclusion, including foot notes but not including bibliographies, references or appendices.

PROGRAMME	FORMAT ONE	FORMAT TWO	FORMAT THREE
Doctoral	Normally between 40,000 and 80,000 with an upper limit of 100,000 words*	Normally between 30,000 and 60,000 words with an upper limit of 80,000 words*	Normally between 40,000 to 50,000 words*
Master's Thesis 90 points and above	Normally between 20,000 and 40,000 word with an upper limit of 60,000 words *	Normally between 10,000 and 40,000 words with an upper limit of 60,000 words *	Normally between 7,000 and 15,000 words*
Research Component of less than 90 points	Normally between 6,000 and 30,000 words*	Normally between 6,000 and 25,000 words*	Normally between 6,000 and 8,000 words*

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

Doctoral Thesis

Format One

A doctoral thesis which follows the traditional thesis format is normally between 40,000 and 80,000 words, with an upper limit of 100,000 words*. Students should consult their supervisor(s) on what is appropriate for their thesis topic and their proposed research.

Format Two

A doctoral thesis which follows the manuscript format is normally between 30,000 and 60,000 words, with an upper limit of 80,000 words*. Students should consult their supervisor(s) on what is appropriate for their thesis topic and their proposed research.

Format Three

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

Research Component of 90 points and above

Format One

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

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

Format Two

Research components of 90 points and above following the manuscript format is normally between 10,000 and 40,000 words, with an upper limit of 60,000 words*. This is dependent on the topic and the specific research undertaken, and varies depending on methodology and the relevant point's value of the research e.g. 90 points vs 120 points.

Format Three

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

Research Component below 90 Points

Format One

Research Components below 90 points which follows the traditional thesis format is normally between 6,000 and 30,000 words*, depending on the topic and the specific research undertaken. Students should consult their programme leader on what is appropriate for their dissertation topic.

Format Two

Research components below 90 points following the manuscript format is normally between 6,000 and 25,000 words, with an upper limit of 60,000 words*. This is dependent on the topic and the specific research undertaken, and varies depending on methodology.

Format Three

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

* Research component length includes everything from the introduction to the conclusion, including foot notes but not including bibliographies, references or appendices.

what is appropriate for their exegesis topic and their proposed research.

Research Component[1] Layout

Note: For examples of title pages and cover layouts please refer to Appendix C on page 168.

The research components should be structured in the following order:

Title page

The first page of the research components must contain the following elements:

- Student's name;
- Full title of the research components;
- Year of lodgement (this should be the date the research was submitted for examination). Please note that when preparing the final thesis for lodgement to Tuwhera (if amendments are required post examination) that the lodgement year is required to be changed to the year that the final thesis is lodged to Tuwhera in order to graduate. See page 144;
- School, Division or Department;
- The lodgement statement appropriate to the degree.

Lodgement Statements

PhD and MPhil:

A research component submitted to Auckland University of Technology in fulfilment of the requirements for the degree of .....

All Other Postgraduate Degrees (Including Professional Doctorates):

A research component submitted to Auckland University of Technology in partial fulfilment of the requirements for the degree of .....

Abstract

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

Table of Contents

The research component 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.

List of Figures (if any)

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

List of Tables (if any)

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

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

Attestation of Authorship

On the first page after the table of contents, the following attestation signed by the student certifying the original authorship of

[1] The term 'research component' may include a thesis, dissertation, research project or exegesis.

the research component 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 used artificial intelligence tools or generative artificial intelligence tools (unless it is clearly stated, and referenced, along with the purpose of use), nor material which to a substantial extent has been submitted for the award of any other degree or diploma of a university or other institution of higher learning."

Co-Authored Works

Where the thesis contains jointly authored research papers, case studies and/or any other work published or unpublished the student should be the principal author with a stated contribution which constitutes the leadership and writing up of the work reported in the manuscript(s). Research components including manuscripts must include a signed declaration, from all co-authors, which specifies the extent and nature of the contribution and co-authors' contribution to each of the manuscripts. A Co-Authorship Contribution Template can be used and inserted into the thesis for examination. Refer to page 56 for more information on co-authored works.

Declaration of Collaboration

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

AI Declaration Template

A research component that incorporates the use of artificial intelligence tools, including generative AI such as ChatGPT, must include a completed AI Declaration Template as part of the submitted work. Students are required to provide a clear and accurate account of how AI tools were used, ensure the declaration is reviewed and endorsed by their primary supervisor, and include the approved declaration within the research component submitted for examination.

Students are responsible for ensuring AI use complies with the University's Guidelines for the Ethical Use of Generative Artificial Intelligence in Research. See page 95 for further details.

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 research component;
- Use of graphics in the research component;
- Word processing of the research component.

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

Intellectual Property Rights

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

Ethics Approval

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

Confidential Material

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

Confidential material will normally be provided in a separate annex to the research component.

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

Chapters

Chapter formats may differ for various disciplines (check with your supervisor). There are three approaches to the style of the research component dependent on whether format one, format two or format three are used. Exemplars of formats detailed on page 53–57.

References

The research component 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 research component not at the end of each chapter.

Advice regarding bibliographic standards can be obtained from the supervisor.

Glossary (if any)

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

Appendices (if any)

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

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

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

Appendix B: Tools

a. Interviews, focus group, observation guide
a. Participant Information Sheet
a. Consent form
a. Letters of support (if applicable) or support services

a. Letter requesting access
a. Appendix C: Sample of coding or sample of thematic analysis (if applicable)

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

Other appendices may include (if applicable):

- Glossary
- Transcriber confidentiality agreement
- Profiles

Copyright Statement

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

Third Party Copyright Material

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

This letter is available after the Postgraduate forms, on the AUT website.

RESEARCH SUPERVISION

- SUPERVISION TYPES
- PRINCIPLES OF SUPERVISION
- SUPERVISOR REGISTRATION
- SUPERVISION AGREEMENTS

RESEARCH SUPERVISION

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

Principles of Supervision

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

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

Supervisory Eligibility

To be a supervisor, academic staff must:

- Hold the appropriate qualifications;
  - Doctoral thesis supervisors must normally hold a research doctoral degree;
  - Master's supervisors must normally hold a minimum of a research master's degree (inclusive of a research project, dissertation or thesis);
- Have demonstrated expertise in the discipline and/or research methods to be supervised;
- Be engaged in research;
- Have completed the 'Supervision Fundamentals' training in Canvas (for AUT Staff);
- Have the approval of their Associate Dean Postgraduate (for AUT staff) and Head of School.

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

Supervisors who have supervised to completion at another institution will not require a mentor, provided they have completed the 'Supervision Fundamentals' training in canvas.

Supervised to Completion

Supervised to completion for a doctoral supervisor means supervision in any capacity (primary, secondary or tertiary supervisor) provided they had been on the supervision team, prior to the completed student's confirmation of candidature.

A supervisor who has not supervised to completion may require a supervisory mentor, see page 67 for further details.

Supervision Teams

Note: It is not possible to combine the two supervision structures.

Research for a doctoral thesis requires

a minimum of two supervisors. For professional doctorates the secondary supervisor may be appointed by submission of confirmation of candidature.

Research for a master's and bachelor's with honours research project normally requires one experienced supervisor having supervised students to successful completion of a postgraduate degree. Where the research is practice-focused, two supervisors will normally be appointed.

The University allows two supervision structures:

Traditional Supervision

A traditional supervision structure consists of a primary and secondary supervisor, with the option of a third supervisor and/or advisor. In this model, the primary supervisor will undertake more of the supervision with the secondary (and third where applicable) undertaking specific roles that would generally require less total supervision time than primary supervision. An external supervisor would normally be a secondary or third supervisor with the primary supervisor being an internal AUT staff member.

Co-Supervision

A co-supervision structure will normally consist of two, but no more than three, supervisors who will equally share the supervision load.

Where a co-supervision model is used, one co-supervisor must be identified as the administrative lead (normally an internal AUT staff member), who will be responsible for submitting the required paperwork and will be the main supervision contact person. External supervisors are allowed to be co-supervisors but not normally the administrative lead.

Supervisory Mentors

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

A mentor is required if a supervisor has not supervised to completion at the relevant programme level (i.e. at doctoral or master's level). See page 65 for further information on 'supervised to completion'.

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

Mentor Eligibility

To be eligible to be a mentor a staff member is required to:

- Have supervised a minimum of one student to completion as Primary or Co-supervisor (Admin Lead), and
- one other completed supervision (both at the relevant programme level);
- Meet all other requirements to be registered as a supervisor;
- Be familiar and compliant with the processes involved in ensuring successful completion at AUT.

Mentor Responsibilities

If not appointed as a supervisor, the mentor should meet with the supervisory team on a regular basis to ensure that supervision is being conducted within these guidelines.

The mentoring can be through either an individual or group process. Mentors are expected to provide opportunities for reflection and open communication regarding supervision issues and will observe part of the supervision process in order to give feedback to the supervisor(s).

Supervisor(s) may be informally assisted

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

Mentors should provide guidance to new supervisors on supervision processes and challenges and are ideally also experienced as an examiner.

If mentoring at doctoral level, then being active as a Doctoral Oral Examination Convenor at AUT is preferable. Mentors do not normally interact directly with the student.

Mentors are not listed specifically on the Register of Supervisors.

Mentor Appointment

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

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

External Supervisors

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

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

Advisors

An Advisor is an individual with specialised knowledge or skills, including industry-based advisors or those providing Indigenous expertise. Advisors may have non-traditional research outputs or other skills related to the practice of the discipline. They may be AUT staff, or external. Advisors are not listed as supervisors on the Register of Supervisors.

Adjunct Staff

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

Supervisor Registration

Supervisor Resgistration Policy

Supervisor Registration Proceedures

All AUT staff who wish to supervise postgraduate doctoral or master's thesis students must be registered with the Graduate Research School (GRS), who maintains a register of all supervisors, by completing an 'Application to Act as a Supervisor' form.

Supervisors must meet eligibility criteria to supervise, as detailed on page 65.

Supervision Registration Categories

Supervisor registration categories include New Supervisor, Master's Supervisor, and Doctorate Supervisor.

New Supervisor

AUT staff new to postgraduate supervision or who have not yet supervised a research master's or doctoral student to completion. A new supervisor requires a Mentor on the supervisory team (at the relevant programme level).

Master's Supervisor

AUT staff who have supervised at least one master's thesis student to completion (at AUT or another institution) may be registered under the Master's Supervisor category.

Doctorate Supervisor

AUT staff who have supervised at least one doctoral thesis student to completion (at AUT or another institution) may be registered under the Doctorate Supervisor category.

In addition to the three supervision categories, the roles of Mentor and Advisor are not recorded on the Register of Supervisors.

Supervisor Registration Process

To apply to become a registered supervisor, or to apply to change between registration categories, the 'Application to Act as a Supervisor' form should be completed and approved by the Faculty Associate Dean (Postgraduate) in conjunction with the Head of School, and the Dean of the Graduate Research School.

Supervisor Suspension and Reinstatement

Where there are any breaches of supervision responsibilities or failure to meet the policy requirements, a supervisor may be 'suspended'. Suspension is the temporary removal from the Register of Supervisors or a restriction of supervisory responsibilities.

Reinstatement is possible upon resolution of issues and endorsement from relevant faculty leadership.

For further details on Supervisor Registration, including circumstances and process for suspension and reinstatement, refer to the Supervisor Registration Policy and Supervisor Registration Procedures.

Supervision Development

The Researcher Education and Development team runs a professional development programme for supervisors of postgraduate research through the Graduate Research School. The purpose of the programme is to increase supervisor capability and capacity and strengthen AUT's supervisory community of practice. The programme consists of a series of self-paced online modules addressing a variety of topics within supervision, accompanied by opportunities to share and discuss experiences with colleagues in workshops, and fora.

For details on how to assess online modules, workshops, and fora, please refer to the

Postgraduate Research Supervision page on TUIA.

Supervisor Location

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

Where the co-supervision structure is used the administrative lead must be an AUT staff member, other co-supervisors may be from the same faculty, a different faculty or external to the university.

Where a secondary supervisor, or other co-supervisors are from a different school or Faculty, their Head of School should also sign the research proposal, confirmation of candidature or change of supervisor requests (Change Requests/Variation of Record form) in order to ensure that supervisory resource is available.

Supervisor/Mentor Absence and Sabbatical Leave

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

General Responsibilities of Supervisors

Supervisors organise regular contact with students (a minimum of once a month) for formal discussions, constructive evaluation and feedback in relation to satisfactory progress. The type and amount of contact between supervisors and students may vary, depending on the developing experience and expertise of the student, the nature of the study being undertaken, and the amount of practical work involved. This and other requirements are best identified in the Research Supervision Agreement (see page 72), which must be completed with all students and supervisors.

Supervisors:

- Assist students with the development of the research proposal and submission to Faculty postgraduate committees for approval and submission to the University Postgraduate Research Board for doctoral and Master of Philosophy proposals;
- Assist students in planning an appropriate course of collateral reading, suggesting relevant background reading and giving advice on the literature review;
- Advise students of the aims, scope and presentation of the research component, monitoring and discussing progress throughout candidature and commenting critically on the final draft;
- Guide and challenge the student's development as a researcher, thesis writer and critic;
- Provide guidance on the theoretical frameworks, models, methodology, methods and standards of research;
- Submit applications to the University's Ethics Committee (AUTEC) or other

ethics approval body as appropriate through working with the student and ensuring that the student understands the principles and procedures of the relevant ethics committee, and that research projects are of an acceptable ethical standard. It is important to note that the application is in the name of the supervisor;

- Encourage students to practice dissemination of research results, for example, presenting seminars, submitting articles for publication, presenting work at exhibitions, submitting work for peer and/or public review.

For more information on expectations of supervisor behaviour and supervisor code of conduct refer to page 76.

Administrative Responsibilities

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

- Be familiar with the University regulations governing postgraduate programmes and being responsible for drawing the attention of the student to relevant aspects of the regulations and ensure they report as required to the relevant Faculty postgraduate committee and/or the University Postgraduate Research Board on prescribed matters;
- Notify the Faculty postgraduate committee of recommendations for appointment of additional supervisors or changes to the supervisory team;
- Nominate examiners;
- Ensure students format their work appropriate to the formats undertaken;
- Discuss intellectual property issues with the student and assess the commercial potential of the research;
- Discuss and support the submission for examination processes for the research component examination, testifying that requirements for the research component meet the standards and requirements for examination. These include appropriate format of the work as stated in the Postgraduate Handbook, ensuring the attestation of authorship statement of own work is signed, checking all appendices and forms (e.g. Ethics) are included and that all work has been completed to the satisfaction of the supervisor/s and declared ready for examination.

Managing Student Progress

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

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

Student Responsibilities

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

- Selecting, negotiating and refining a research proposal in consultation with their supervisor(s);
- Working with the supervisors to obtain approval from the University Ethics Committee and/or other ethical approval as appropriate;
- Discussing with the supervisor(s) the type of guidance and comment they find most helpful and agreeing on a schedule of meetings;
- Completing a supervision agreement in consultation with the supervisor(s);
- Maintaining contact as agreed with the supervisors (at least once every month), attending meetings and seminars scheduled by the supervisors, and others that contribute to the completion of the research and production of the research component;
- Responding to arrangements proposed for supervision and the advice and instruction given by the supervisor(s);
- Maintaining the progress of research, especially written work, to meet the stages and timeframe agreed with the supervisor, to facilitate feedback before the next stage;
- Taking the initiative in raising problems and difficulties, however elementary they may seem;
- Timely progress reports on their work;
- Providing peer support and feedback to other students as appropriate.

Note:

Students are expected to behave with professionalism and to maintain a positive relationship with their supervisor(s) demonstrating integrity, dignity and respect with appropriate boundaries. Personal, intimate relationships between supervisors and students are not encouraged at AUT. Bullying and harassment of any form is not tolerated. Students who experience bullying or harassment are encouraged to refer to page 106 – Resolution of Problems for more details.

Responsibilities of the Associate Dean (Postgraduate)

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

- The approval of a student's proposal (Postgraduate Research Proposal form/ Admission to a Doctoral Programme form/ Confirmation of Candidature form);
- Overseeing of all academic supervision in conjunction with the relevant Head of School;
- Monitoring progress of students undertaking research components through the review of regular progress reports;
- Submitting research proposals and recommendations for the appointment of supervisors to the faculty postgraduate committee;
- Monitoring reports on student progress toward completion of research;
- Submitting an Appointment of Examiners form for approval to the relevant Postgraduate Committee within the faculty;
- Ensuring students supply copies of the research component as appropriate for examination and graduation;
- Signing, after the supervisors have signed the work is ready for examination, the lodgement form for the research

component to be submitted for examination, thereby stating that the requirements for the research component have been met.

Supervision Agreements

To facilitate the supervision process, a supervision agreement between the student and the supervisor must be completed. This can be completed on a supervision agreement template, available of the AUT website. This must be completed by all students in consultation with their supervisor(s). The supervision agreement includes spaces for supervisor(s) and student to record their joint understanding. It is expected that students and supervisors will complete the supervision agreement and provide evidence of doing so when the research proposal is submitted for approval (i.e. Postgraduate Research Proposal for master's and honours degrees, Confirmation of Candidature for all doctorates). Without this evidence the proposal will not be approved. During candidature this agreement can be re-negotiated by all parties.

Doctoral Research Supervision Agreement

The supervision agreement serves to create a discussion between students and supervisor(s) with the intention of facilitating a collaborative, transparent process designed to ensure the successful completion of a scholarly thesis in which the student makes an original contribution to knowledge. The agreement should not be considered a legal contract.

In completing this agreement, students and supervisors are stating:

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

Students

Students may assume:

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

Supervisors

Supervisors may assume:

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

Minimum Requirements

In accepting these requirements, students and supervisors agree to:

- Meet or make contact on a regular basis (e.g. every 4 weeks) to discuss the students doctoral programme and review progress;
- Submit progress reports within the required timeframe that records the student's progress to date and plans for the next six-month period, and any issues that need to be brought to the attention of the faculty postgraduate committee and/ or University Postgraduate Research 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 Research Board.

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

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

Sample Doctoral Supervision Agreement

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

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

Research Component[1]

University Postgraduate Research 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 /

[1] The term 'research component' may include a thesis, dissertation, research project or exegesis.

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 research component/ 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 62 – Intellectual Property Rights.

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

Guidelines for Discussion

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

Introduction

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

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

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

Supervisor/Student Understandings

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

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

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 they 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 research component difficult, e.g. student suffering financial hardship or experiencing relationship difficulties or supervisor going on sabbatical, expecting a baby etc?

Time Frame

Issues to discuss might include:

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

Joint Supervisors (for thesis students)

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

Faculty Expectations & Resources

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

What access does the student have to:

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

What expectations does the faculty have of the student?

- Seminar presentation of research in progress?
- Small group meetings to discuss progress?

- What else?

Monitoring Supervision, Resolving Conflict

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

Other Faculty Issues?

AUT Requirements

AUT guidelines/regulations.

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

Clarification of Research Component Assessment

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

Extensions and Deferment

- What are the protocols for extensions and deferment?
- In the event that I need an extension over the summer, or beyond, what will the position be regarding supervision? Will there be an extra cost?
  AUT Protocols
- What AUT-wide channels are available in the event that one of us is not happy with the progress of the supervision and the faculty cannot or is inappropriate to resolve this?

Ethics

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

Intellectual Property

- Is there existing intellectual property ('Background IP') that I will build on, and who does it belong to?
- Who owns the intellectual property that I produce?
  - The AUT IP Policy applies (see the Policy Hub)
  - Is IP ownership affected by commercial or funding agreements that AUT has with third parties?
  - Am I required to sign a Project IP Agreement or Confidentiality Agreement for the project? (Contact the Research Office for templates.)
- Who will be the beneficiary(ies) of any income that is generated if the research is commercialised? How will the proportions be decided?
  - This discussion should be mediated by AUT Ventures Limited, AUT's commercialisation office (see ventures.aut.ac.nz or email autventures@aut.ac.nz).
- What publications might be planned?
- How will authorship be managed?
- Seek permission before use of AUT brand;

Have a mediation process in place if any conflict arises. See page 62 – Intellectual Property Rights

Other AUT-wide Issues?

Example Template of Meeting Schedule

Supervisor Code of Conduct

The University has expectations and standards of behaviour of supervisors that enable and support the commitment to a safe, respectful, inclusive, and effective research community.

It is expected that supervisors behave with professionalism and to maintain a supervisory relationship of integrity, dignity, and respect with appropriate boundaries.

Personal Relationships

Personal, intimate relationships between supervisors and students are prohibited at AUT.

Bullying and Harassment

Sexual harassment is prohibited at AUT. Staff and students are entitled to treatment that acknowledges their individual dignity and worth, including respect for their cultural, professional and personal values, consistent with the requirements of employment.

Sexual harassment is behaviour that is unwanted, unwelcome and/or offensive sexual behaviour that is repeated or is significant enough to have a negative effect on an individual's wellbeing. Unwanted or unwelcome refers to behaviours that are not solicited or invited and are regarded by a person as undesirable or offensive at the time.

Sexual harassment includes requests for sexual activity which contain an implied or overt promise of preferential or detrimental treatment.

Power Imbalance

Power imbalance refers to the relationship between two persons where the person who holds the power uses their position to influence situations.

At AUT it is prohibited for those in a position of power to use their position for inappropriate purposes.

Conflict of Interest

Staff have a responsibility to declare potential conflicts of interest, which specifically includes inappropriate relationships with a student. Staff have obligations including identification, avoidance, and management of any conflict of interest. A conflict of interest arises where a person has more than one interest in a situation and those interests are in conflict with each other.

This includes both actual and potential conflicts of interest

Consequences

Any breach may constitute "misconduct" or "serious misconduct" and may be dealt with under the Discipline Policy.

University Codes, Policy and Procedure Documents:

- Refer to the full Code of Conduct for Graduate Research Supervision here.
- Refer to the AUT Code of Conduct for Research here.
- Refer to the Conflict of Interest Policy here.
- Refer to the Preventing Bullying and Harassment policy here.
- Refer to the Staff Code of Conduct here.
- For Resolution of Problems see page 106.

PROGRESSION

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

PROGRESSION THROUGH THE DEGREE

Progression Processes for Research Components of less than 90 Points

Note:

- Where students are undertaking their research component as a taught course, progression requirements are to be undertaken and applied for in the same way was they would have for any other coursework paper (I.e. not using Postgraduate Research forms)
- Where students have completed a Postgraduate Research Proposal form they will need to follow the same progression process as detailed in the Postgraduate Handbook

Progression requirements for students undertaking a research component of less than 90 points can be processed in one of two ways, depending on which option on page 46 the faculty has chosen for your programme.

1. Students may apply for changes to their candidature and submission of progress reports by completing the Postgraduate Research forms located on the AUT website. These requests are lodged and approved by the faculty postgraduate committee
   - The requirement to use the Postgraduate Research forms is at the faculty's discretion;
   - The requirement to submit a progress report is at the faculty's discretion and may be based on the research component's points or duration of the course – a semester based (12 weeks) course may not require a progress report be submitted).
2. Where a research component is being processed as an assignment within a taught course, applications for special consideration (extensions, leaves of absence, alternative assessment opportunities, and progress updates etc.) are to be undertaken and applied for in the same way as students would during their coursework papers (i.e. Postgraduate Research forms are not required).

Children's Act (2014)

The Children's Act is legislation that requires a safety audit for everyone working with children, including students on practicum. Students who have sustained contact with a child or children will need to meet the requirements of the Children's Act.

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

Hazards and Risks

Postgraduate Research Hazards and Risks Assessment Template

It is important for students and supervisors to discuss, identify and manage any risks that could potentially result during postgraduate research. Managing hazards and risks throughout postgraduate research is an ongoing process that may need attention over time, especially if there are any changes that may increase risk or the introduction of different hazards. Students are required to complete the Postgraduate Research Hazards and Risks Assessment template with their supervisor. It is recommended that this be completed when the research proposal has been developed or when the supervision agreement is being completed. A Postgraduate Research

Hazards and Risks Protocol is available for further information and guidance on this process.

Research Timeframes

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

Note:

- Students who require longer than the normal timeframes must apply for an extension (see page 85).
- Students who exceed the programme timeframe may not have their qualification conferred. It is strongly recommended to complete within the normal timeframe. Extensions to the normal timeframe may be considered in exceptional circumstances and on application to the Faculty Postgraduate Committee (University Postgraduate Research Board for Master of Philosophy and Doctoral Programmes).

TIMEFRAMES	MINIMUM TIMEFRAME	MAXIMUM TIMEFRAME
360 Point Thesis		
Full-time	3 Years	4 Years
Part time	6 Years	8 Years
240 Point Thesis		
Full-time	2 Years	3 Years
Part-time	4 Years	6 Years
120/90/75[1] Research Component		
Full-time	1 Year/2 Semesters	*[3]
Part-time	2 Years/4 Semesters	*[3]
Research Component of 60 Points and Less[2]		
Full-time	6 Months/1 Semester	*[3]
Part-time	1 Year/2 Semesters	*[3]

[1] Normal research timeframes for a 75 point research course is 2 semesters full-time and 4 semesters part-time. Timeframes may differ and are determined by the Faculty Postgraduate Research Office.
[2] For specific timeframes for the research component refer to the programme handbook.
[3] The maximum timeframe in a research component is dependent on the programme regulations. Please refer to the Academic Calendar for further details.

Doctoral Timeframes

PhD Students

The minimum timeframe that PhD students are expected to complete is within three years full-time, or six years part-time. The maximum timeframe is four years full-time and eight years part-time.

Extensions would need to be applied for after the end of the third year for full-time, or sixth year for part-time PhD students.

Professional Doctorate Students

The minimum timeframe for completion of the thesis component for professional doctorate students is two years full-time, or four years part-time. The maximum timeframe for completion is three years full-time and six years part-time.

Extensions will need to be applied for at the end of the second year for full-time or fourth year for part-time students.

Master's and Bachelor with Honours Timeframes

Normally, Masters 90/120 point theses are expected to complete within one year full-time and two years part-time. 75 point research courses are normally completed within two semesters full-time and four semesters part-time. 45/60 point research components are expected to be completed in six months/one semester full-time, or one year/two semesters part-time.

Extensions would need to be applied for if a student cannot complete the research component within the normal timeframe (see page 85).

Early Submission of Research Component

Early submission of a research component for examination will only be considered under exceptional circumstances and by approval from the University Postgraduate Research Board. See page 110 for more information.

Student Progress Reports

Faculty	First progress report due
Culture & Society	February & August
Design & Creative Technologies	March or September[1]
Health & Environmental Sciences	
School of Science	April & September
School of Allied Health	May & November
School of Nursing	March & August
School of Acute and Primary Health	April & September
School of Community & Public Health	March & August
School of Sport, Exercise & Health	May & November
Te Ara Poutama	May

1 Refer to your Faculty/School for specific progress report month

Progress Report form

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

Progress Report Timeframes

A minimum of one progress report must be submitted per year. Faculties will apply their own discretion to the progress report submission frequency, whereby:

- Faculties of Design and Creative Technologies and Te Ara Poutama require a progress report once per annum, or at the discretion of the Associate Dean (Postgraduate).
- Faculty of Health and Environmental Sciences require a minimum of one progress report every six months. Submission date is dependent on the school the student is in, refer to the table above.
- The Faculties of Business, Economics and Law, and Culture and Society require a progress report twice per annum.

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

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

Doctoral students please note:

Confirmation of Candidature, submitted

within 12 months (full-time) and 24 months (part-time), replaces the need for a progress report at that time. If the confirmation of candidature is delayed, then a report will be required the following month with completion of the Specific Progress Plan (PGR SPP) in the appendix of the Progress Report form.

Completing the Progress Reports

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

Students following format two (manuscript format) are advised to include in their progress report a timeline for the planned submission of manuscripts (including proposed titles, publication outlets, and timing of submission), and a report on progress against this timeline. This will assist the Faculty Postgraduate Committee in monitoring the progress of Format two students to completion.

For specific requirements on the number of manuscripts needed see page 55.

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

Note:

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

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

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

Specific Progress Plan

Progress Report form

Where it has been indicated that a student has not been making satisfactory progress, meeting milestones or has exceeded their required completion timeframe, a Specific Progress Plan (PGR SPP) will need to be completed in consultation with the supervisor(s). The PGR SPP is in the appendix of the Progress Report form. The SPP can be initiated by the supervisor(s), Faculty Associate Dean (Postgraduate) or nominee, or the Dean of the Graduate Research School.

The purpose of the SPP is to create a more considered and specific plan for a student who is not progressing satisfactorily or exceeding the normal timeframes. The SPP must provide specific actions directed at ensuring the issues which are causing the issue or delay are considered, detailed, approved and adhered to.

Where progress remains unsatisfactory or the student fails to meet the required actions or milestones outlined in the PGR SPP by the due date may result in the termination of enrolment (withdrawal from the programme by the university). See page 89 for further information on the Unsatisfactory Progress process.

Variations to Candidature

Note: Applies to research enrolments

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

- Deferment of Enrolment;
- Mode of Study (full-time to part-time or part-time to full-time);
- Extension;
- Leave of Absence;
- Withdrawal;
- Change of Faculty;
- Change of Study Location.

Deferment of Enrolment

Change Request/Variation of Record form

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

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

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

Mode of Study

Change Requests/ Variation of Record form

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

Changes to mode of study will only be permitted at the end of the current period of enrolment. Where the current enrolment would normally be considered the completion of the course, a change of mode of study may be considered in some circumstances. This is dependent on the length of time in the current enrolment, and if the enrolment continues through a December-January period. In these circumstances it is recommended that the request be discussed with the Faculty Postgraduate Coordinator, or the Graduate Research School before applying.

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

Where a doctoral student applies to change their mode of study, the student will receive an approval letter stating the updated expected completion date. Doctoral students may not submit for examination before completion of three years full-time equivalent (3EFTs).

Extensions

Change Requests/ Variation of Record form

Note:

- Extensions will only be considered retrospectively under exceptional circumstances.
- For research components of less than 90 points which are treated as a taught course, should request an extension via the SCA portal.

Students are required to maintain a continuous enrolment in their programme. Where students require more time to complete at the end of the normal programme timeframe, they are required to apply for an extension. This should be applied for before the end of their current enrolment. Failure to apply for an extension and maintain continuous enrolment may result in the student's progress being deemed unsatisfactory.

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

Doctoral Student Extensions

Normally, PhD students are expected to complete within three years full-time, or six years part-time and professional doctorate students are expected to complete the thesis component within two years full-time or four years part-time. The minimum timeframe for completion is normally three years full-time equivalent (3EFTs). The minimum duration for an extension is one month for full-time students or two months for part-time students (part-time extensions must be in multiples of two, e.g. 2, 4, 6, 8, 10 or 12 months).

Students requesting an extension that exceeds the timeframes, stated on page 80, will be required to complete a Progress Report and a Specific Progress Plan (PGR SPP in appendix 1 of the Progress Report form), see page 84.

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

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

Doctoral Unsatisfactory Progress

If a student exceeds the programme timeframe, fails to maintain a continuous enrolment, is enrolled for an unreasonably extended timeframe, and still requires further time to complete the thesis the student's progress will be deemed unsatisfactory and they will be required to complete a Progress Report and a Specific Progress Plan (PGR SPP) (appendix 1 of the Progress Report form), see page 84.

The student will be required to submit evidence of progress to date and a project timeline with a clearly stated date for submission of the thesis. The progress evidence needs to be a detailed outline of what has been completed to date, along with a detailed timeline to completion. Progress reports may be requested by the faculty on a monthly or two monthly basis.

Doctor of Philosophy

Students in the PhD programme will be required to request an extension before the end of their third year for full-time, or sixth year for part-time students if they cannot complete the thesis within the normal timeframe. Students will be required to submit the extension request with a completed Progress Report and faculties will need to provide justification/evidence and timelines to justify continuation.

Professional Doctorates

All students in professional doctorates will be required to request an extension at the end of their second year (of the thesis component) for full-time, or fourth year part-time for continuation in the programme. Students will be required to submit the extension request with a completed Progress Report and faculties will need to provide justification/evidence and timelines to justify continuation. A letter of support/justification from the supervisor will be required.

Master's and Bachelor with Honours Student Extensions

If a student cannot complete the research component within the normal timeframe, they may apply to the faculty postgraduate committee for an extension[1] accompanied by a progress report and Specific Progress Plan (PGR SPP). Such applications are considered on their merits, but in general an extension is normally granted only when the writing of the research is near completion and where there is certainty that the thesis can be completed if more time is allocated. Normally only one extension, regardless of its duration is permitted. The normal timeframe for an extension is two months, but may be extended to a maximum time of six months, for exceptional circumstances. Students should apply in advance through their supervisor on a Change Requests/ Variation of Record form.

Where an extension is required for a duration of up to six months for full-time students or three to twelve months for part-time students, then the faculty will approve the extension. The student will be enrolled in a funded extension and be expected to pay the normal fees.

Leave of Absence from Candidature

Change Requests/ Variation of Record form

Note:

- Leave of absence requests will only be considered retrospectively under exceptional circumstances and only for a retrospective period of two months.
- For research components of less than

90 points which are treated as a taught course, should apply using the SCA portal.

- A leave of absence should not be used to cover statutory holidays (including the three-week period that the university is closed over the Christmas period).
- International students should consult with International Student Support regarding visa conditions when applying for a Leave of Absence
- Scholarship students should consult with the Scholarships Office prior to applying for a Leave of Absence

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

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

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

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

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

Retrospective Leave of Absence requests will only be considered in exceptional circumstances and can only be backdated to a maximum of two months from the date of application. Retrospective LOA's would not normally include time taken in employment.

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

Doctoral Students Please Note:

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

International Doctoral Students Please Note:

International Doctoral students may have a leave of absence for up to 3 months in any 12 month period without losing their student visa. The allowed 3 month suspension period does not need to be taken over a single period or consecutively and can be staggered through the 12 months.

A leave of absence longer than 3 months may result in the university notifying Immigration New Zealand for the termination of the current student visa and re-application of their student visa is required at the end of the suspension period. If an international student wishes to remain in New Zealand during this period of suspension they must apply for an appropriate alternative visa before the student visa is terminated. Granting of visas is entirely up to Immigration New Zealand.

Withdrawal

Change Requests/ Variation of Record form

Notification of withdrawal can be done at any time and should be made in writing to the faculty postgraduate committee after consultation with all their supervisors. The faculty postgraduate committee will forward the notification, for doctoral and MPhil students, to the GRS who will advise the University Postgraduate Research Board.

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

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

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

Doctoral students please note:

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

Master's and Bachelor with Honours please note:

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

Change of Faculty (doctoral students only)

Change of Faculty form

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

In the first instance the student should meet with the Associate Dean (Postgraduate) in the Faculty they wish to transfer to in order to ensure that there are adequate resources, including supervision, available for the transfer. The Head of School for the new faculty is required to ensure that resources are available for the research. The student should then discuss the transfer request with their current Faculty's Associate Dean (Postgraduate). The change of faculty should be completed by mutual agreements with both faculties.

A request for change of faculty form should be submitted to the Faculty Postgraduate Committee. This should be submitted

[1] Applications for extension by students in the MPhil programme will be approved by the UPRB.

through their supervisor to the new Faculty Postgraduate Committee.

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

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

Appointment/Change of Supervisors

Change Requests/ Variation of Record form

Supervisors are normally appointed prior to the submission of the Postgraduate Research Proposal/ Admission to a Doctoral Programme forms. All subsequent appointments or changes to supervisors must be approved by the Faculty Postgraduate Committee, and the University Postgraduate Research Board for doctoral and Master of Philosophy students.

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

All supervisors are expected to complete a 'Research Supervision Agreement' with the student. Please refer to the 'Principles of Supervision' on page 65.

Major Change to Research Component Topic

Change in Topic form

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

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

Unsatisfactory Progress

Also Termination of Enrolment/University-led Withdrawal.

The unsatisfactory progress (USP) process may be initiated as an outcome of the progress report Specific Progress Plan (SPP) process or by a supervisor, the faculty postgraduate office or the Graduate Research School.

If a student's progress is unsatisfactory, the supervisor will alert the Associate Dean (Postgraduate) in writing. The Associate Dean (Postgraduate) will advise the Faculty Postgraduate Committee and the University Postgraduate Research Board.

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

Milestones:

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

- Failure to stay in regular contact with the supervisory team;
- Multiple leave of absence requests;
- Multiple extensions;
- Unsatisfactory, or non-submission of progress reports;
- Exceeding the maximum timeframes for their programme;
- Outside of the agreed timeframe for confirmation of candidature and/or completion (Doctoral Only);
- Progress reports submitted where supervisors record 'unsatisfactory

progress' and a Specific Progress Plan (PGR SPP) was completed, and actions/ milestones were not met by the due dates.

Conditions:

Failure to meet admission conditions, e.g. language, research methods, confirmation of candidature (doctoral students only) etc.

Research Component Progress:

The conceptual development and writing up of the research component are at an unsatisfactory stage.

Exceptional Circumstances:

- No exceptional circumstances evident.

Regulatory:

- Failure to stay in regular contact with the supervisory team, respond to communication from the University including (but not limited to):
  - Communication regarding enrolment or re-enrolment;
  - Unpaid fees;
  - Updates on progress;
- Inability to maintain active (continuous) enrolment in the programme.

When any of the above has been indicated in the Specific Progress Plan (PGR SPP) within the Progress Report form, the expectations and actions/milestones and due dates will be detailed within the SPP. Failure to adequately address concerns outlined in the SPP and/or meet the required timeframe to address an action, may result in the student being withdrawn by the University following consideration from the University Postgraduate Research Board.

When any one of the above is evident outside of the progress report process a formal warning of unsatisfactory progress may be initiated by the faculty postgraduate office (or committee), or the Graduate Research School. This may require the student to complete a Specific Progress Plan (PGR SPP). or they may notify the student in writing that their progress in the programme has been unsatisfactory. The correspondence must specify the reason why the progress is deemed to be unsatisfactory, provide a list of conditions that must be met and offer the student an opportunity to discuss the matter with the Associate Dean (Postgraduate). The student should be given an appropriate timeframe to reply to the correspondence. A copy of the correspondence should be sent to the GRS.

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

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

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

Embargo, Data Gathering and Storage

Confidential Material

Application for Embargo form

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 research component which cannot be available for public use or access immediately. In circumstances where research component may have commercial sensitivity, or where the student believes their interests, or those of the research subjects, would be at risk if the research component were publicly available, the student may apply for an embargo of public availability. In these circumstances the research component is treated as confidential and restricted to the supervisor(s), examiner(s), and GRS staff. Examiners are asked to sign a confidentiality agreement prior to being sent the material to be examined.

Recommendations for embargo of public availability are made by the student and supervisor to the appropriate faculty postgraduate committee or University Postgraduate Research 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 research component.

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 supervisor can justify that there are strong reasons for this restriction, as this does limit a student's ability to publish.

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

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

The faculty postgraduate committee will set time limits on the embargo of the research component.

Where approval for confidentiality has been given, the confidential material will normally be required to be provided in a separate annex to the research component. When completed the research component will be held securely by the Library. The research component 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 supervisor or other body to whom the guarantee of confidentiality was given.

Embargo for Academic Writing and Publishing

Application for Embargo form

Any manuscript submitted to a peer-reviewed journal for publication will likely be checked using anti-plagiarism software. If there is a potential for publications to arise from the research component post-submission for examination, it is recommended that the research component is placed under embargo. This will enable the student to upload to Tuwhera and be

eligible graduate but it will not be open access until such time as the embargo lifts and publication has occurred.

Where a research component has been lodged on Tuwhera and the student seeks to publish their work it is good practice to;

1. Seek advice from the publisher's editor-in-chief ahead of article submission acknowledging any previously published material from the research component.
2. Check the similarity index of the research component and manuscript using Turnitin. Consider rewriting any section showing a significant similarity.
3. Cite the research component from Tuwhera and acknowledge it as the source for information in the manuscript to be submitted for publication.

Data Gathering, Storage and Retention

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

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

Conflict of Interest

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

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

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

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

- Do you have any familial, close personal or financial relationship with the student?
- Do you have any familial, close personal or financial relationship with the sponsor of the project?
- Are you employed by the commercial entity that will sponsor the proposed study?
- Do you have any ownership interest in the commercial entity that will have an interest in the proposed study?

- Is the student receiving any financial support from a commercial source in the form of a scholarship or grant to carry out the work or to report the work at a conference?

In determining whether a conflict exists when appointing examiners for a research component, there are two questions to ask:

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

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

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

It is the responsibility of staff to:

- Take care that their financial, familial, personal or business relationships or interests do not unfairly disadvantage or advantage other members of staff, students, or other individuals and organisations;
- Inform their manager, as soon as reasonably possible if an actual, perceived or potential conflict of interest arises.
- It is the responsibility of the manager to:
- Take appropriate steps to resolve the situation which could include referring the case to the University Postgraduate Research Board.
- It is the responsibility of students to:
- Report any potential or real conflict of interest to their supervisors or, when this involves their supervisor, the head of school or Associate Dean (Postgraduate).

For more information, including examples of conflict of interest refer to the AUT website.

Publication and Authorship

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

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

AUT recommends the following principles as key in determining authorship attribution:

- Early discussion and agreement on authorship responsibilities and order;
- Signed documentation of authorship protocols and agreements;
- Subsequent review of such agreements;
- Inclusion of all authors;
- Exclusion of unacceptable claims to authorship;
- Adequate acknowledgement of other contributions;
- Inclusion of web-based publications.

Intellectual Property

The University has an Intellectual Property (IP) Policy which applies to all staff and students (see aut.ac.nz). The purpose of the Policy is to maximise the real-world impact of intellectual property created at AUT. The policy includes sections on ownership and development of IP and the sharing of financial benefits from successful commercial development. Programme leaders and supervisors should be familiar with the policy.

Both AUT Ventures (ventures.aut.ac.nz) and the Research and Innovation Office (RIO) can provide advice related to Intellectual Property to staff and students.

It is very important for students and supervisors to understand that there are provisions in the IP Policy which often result in AUT owning IP created by a graduate research student. For example, significant contributions by their supervisor(s), being part of a larger research programme, or use of specialist resources often mean that AUT owns the IP created during graduate research.

However, if AUT does own the IP and it is successfully commercialised, then the IP Policy ensures that any financial benefits are shared with the creators. Further, students and staff always own the copyright in any book, thesis, published paper, article, film, sound recording or artistic work they create, as well as in any personal material and/or notes. Students undertaking an exegesis own any artefact they produce, and they may gift the artefact to the Faculty or to someone of their choosing.

As a minimum, supervisors and prospective students should discuss how the IP Policy applies to the proposed research and document the conclusion in the Supervision Agreement. Where supervisors intend that AUT should own the IP from a graduate research project, they should contact RIO or AUT Ventures about a Project IP Agreement as early as possible, preferably before enrolment. This is especially important where research staff and students are working with external parties on research projects, or where commercially valuable IP might arise during the course of the research.

Where supervisors believe that commercialisable IP has been or will be created in the course of graduate research, they are responsible for discussing this with their student and liaising with AUT Ventures.

Contractual Arrangements

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

Academic Integrity

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

It is AUT's expectation that postgraduate students, because of their maturity and experience, will be particularly capable of

behaving with academic integrity in their studies, research and their engagement with our communities.

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

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

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

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

Plagiarism

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

Turnitin

The University may use Turnitin, or equivalent, to assess work submitted, such as research proposals and confirmation of candidature. It is compulsory that research components (specifically theses and dissertations), except those presented in Te Reo Māori, be submitted to Turnitin, prior to submission for examination. See page 117 for further details.

Artificial Intelligence

Appropriate Use of Artificial Intelligence Tools

Artificial Intelligence (AI) tools, including generative AI tools such as ChatGPT, can be used as learning tools when preparing to write your research component. The formal Guidelines for the Ethical Use of Generative Artificial Intelligence in Research should be followed by all AUT researchers, including students.

AI tools also have capability to assist with data modelling, data analysis and data visualisation.

However, the research component you submit for examination must be substantively your own work. AI tools cannot solely be used to generate content when writing or creating an artwork/artefact, as this constitutes plagiarism.

If you do plan to use AI tools, you must:

- Complete and submit the Artificial Intelligence Declaration Template with the initial research proposal, Confirmation of Candidature and submission for examination. The template is required to be inserted into your research component when it is submitted for examination. See page 61 for further information.
- Discuss the use of tools with your supervisor and demonstrate you understand the tool's functionality and any potential risks of its use, including any potential biases;
- Clearly identify and reference any text created or amended by AI tools;
- Clearly identify and reference any images, diagrams, graphics, tables, or other visual media created or amended by AI tools;
- Clearly identify and reference any data generated, amended, or analysed by AI tools, and this use of AI tools must be in alignment with your AUTEC ethics approval;
- Sign the Attestation of Authorship (required on the first page after the table of contents in the thesis) declaring that AI tools have not been used outside of these conditions.

Guidelines for Use of AI Tools to Support Your Research

Artificial Intelligence (AI) tools have incredible potential across many disciplines, and as a postgraduate researcher you are encouraged to explore this rapidly changing field. AI tools can support the efficiency and quality of research, but you must use these tools ethically, and in an informed and transparent manner.

Examples of Using AI Tools Ethically

- Summarise research articles to aid decisions about reading in full or relevance to your research topic.
- Organise research article sections into common themes.
- Improve grammar, sentence structure, headings or chapter organisation in your thesis text.
- Test survey questions used in a quantitative study.
- Analyse a large quantitative or qualitative dataset (if such use is approved within your AUTEC approval and any affected participants have given informed consent for their data to be analysed in this way).
- Create visualisations of your data.
- Prompt a Large Language Model (LLM) tool to ask you questions to help practice for your oral examination.

Being Informed and Transparent About Your Use of AI Tools

The following steps are recommended when using AI tools.

1. Initial Exploration and Understanding of the AI Tool:
    - Research and gain understanding of the specific AI tool's capabilities, limitations, and intended use.
    - Investigate how the tool has been applied in other research projects, particularly those within your field.
2. Functionality and Suitability Assessment:
    - Assess whether the AI tool aligns with your research objectives and methodology.
    - Evaluate the tool's functionality against your specific research needs.
3. Risk Assessment
    - Identify any potential risks associated with using the AI tool,

including data privacy issues, biases in the tool, and ethical considerations.

- Consider any possible negative impacts on research participants or data integrity.

4. Consultation with Supervisor:
   - Present your initial findings and assessments to your supervisor.
   - Discuss the potential benefits and risks of using the AI tool in your research.
5. Ethical Considerations and Compliance:
   - Ensure your proposed use of the AI tool complies with AUT Ethics guidelines and data protection laws.
   - Any use of an AI tool for data generation or data analysis will have to be explicitly approved via the ethics process.
   - Prepare for the ethics approval process, if required, by drafting a clear explanation of how the AI tool will be used and addressing any ethical concerns.
6. Training and Skill Development:
   - Acquire the necessary skills and knowledge to use the AI tool effectively. This may be through LinkedIn Learning, which is free for AUT students, or other online resources.
   - Test the tool on sample data to understand its practical application and limitations.
7. Disclosure and Referencing:
   - Keep detailed records of how the AI tool is used throughout your research process.
   - Clearly articulate the role of the AI in your research findings and acknowledge any limitations it may have presented.
   - Clearly identify and reference any text created or amended by AI tools.
   - Clearly identify and reference any images, diagrams, graphics, tables, or other visual media created or amended by AI tools (for instructions on referencing, see the guide on Canvas).
   - Clearly identify and reference any data generated, amended, or analysed by AI tools, and this use of AI tools must be in alignment with your AUTEC ethics approval.
   - Sign the Attestation of Authorship (required on the first page after the table of contents in the thesis) declaring that AI tools have not been used outside of these conditions.
8. Preparation for Your Oral Examination:
   - Be prepared to discuss and justify the use of the AI tool in your research during your oral examination.

Examples of AI Use That Compromise Academic Integrity

Text Generation and Paraphrasing:

Advanced AI-driven text generators like Generative Pre-training Transformer (GPT) models can create content that closely resembles existing work. You may not use these tools to generate papers or sections of papers that are derivative of others' work without proper referencing.

Data Fabrication or Manipulation:

AI can be used to create or manipulate data

sets, making them appear original when they are in fact based on or copied from other researchers' work without acknowledgement.

Automated Literature Reviews:

AI tools can summarize existing literature, and if a researcher presents these summaries as their own analysis without citing the original sources, it constitutes plagiarism.

Replicating Code or Algorithms:

Using AI to reverse-engineer algorithms or code from published work and then presenting them as one's own creation is plagiarism.

Misrepresenting AI-Assisted Work as Fully Hand-Crafted:

Presenting artwork created with substantial AI assistance as entirely handcrafted or manually created, misleading viewers or critics about the nature of the creative process.

Cultural Appropriation:

Utilizing AI to amalgamate or replicate cultural symbols, motifs, or aesthetics in ways that constitute cultural appropriation or disrespect towards the cultural significance of the original works.

Image and Data Visualization Plagiarism:
AI tools can replicate or slightly modify images, graphs, and data visualizations from other research works. Presenting these as original without crediting the source is unethical.

Using AI to Bypass Plagiarism Detection Software:

Some AI tools might be used to alter text minimally to evade detection by plagiarism checking software, while still retaining the essence of someone else's work.

Ignoring Consent and Autonomy:

Using AI to analyse behaviours, trends, or sentiments without considering individual consent undermines personal autonomy and ethical research principles.

Bias and Discrimination:

AI systems can perpetuate and amplify biases present in their training data. In criminal justice or human rights research, using biased AI tools can lead to discriminatory conclusions or reinforce stereotypes, particularly against marginalized groups.

Confirmation of Candidature (Doctoral students only)

Confirmation of Candidature form

Refer to the Confirmation of Candidature Protocol

Note:

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

In order to transition from provisional to full candidature, doctoral students prepare and have approved a detailed Confirmation of Candidature form.

Students are expected to commence the confirmation of candidature review process after nine months (for full-time), or 18 months (for part-time) of provisional admission to the doctoral programme with a view to submit the completed Confirmation of Candidature form to the University Postgraduate Research Board within 12 months (full time) or 24 months (part-time) of provisional admission.

Students for a professional doctorate will normally submit a full Confirmation of Candidature research proposal at the end of the coursework component.

Unsatisfactory Progress and Withdrawal

Students who have not submitted their Confirmation of Candidature within the timeframes, noted above, will be sent a letter by the faculty reiterating the timeframes and stating an expectation that it be completed within six months. A progress report will be required to be submitted in lieu of the confirmation of candidature submission.

If the confirmation of candidature is not submitted within this period then the unsatisfactory progress process will be initiated (see page 89), giving students a further six months. Should the confirmation of candidature not be submitted at this stage the student will be withdrawn from the programme.

Submission Without Supervisor Approval

Submission of the Confirmation of Candidature form without supervisor approval is not recommended by the university. However, it is important to note that a student has the right to request that the confirmation of candidature be reviewed, even though the supervisor(s) may not believe it to be of a suitable standard.

Such instances must be clearly identified by the student on the confirmation of candidature form, and the student must acknowledge that they understand the repercussions of this decision, namely that if the reviewers and/or the Faculty Postgraduate Board do not approve the confirmation, the student may be withdrawn from the programme (following the completion of the review and approval processes outlined on page 100). Having submitted the confirmation of candidature without the supervisor's support is not grounds to appeal this decision.

Confirmation of Candidature Content

Your research proposal includes the following content:

- A summary of the research proposal;
- Proposed thesis title;
- Clearly stated thesis question(s);
- Rationale and significance of the study;
- Research aim and objectives;
- Literature and/or past research review;
- An outline of the research design;
- Ethical approval (if required). If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the proposed research with the AUTEC Secretariat. See page 103 for ethical requirements, including when collecting data overseas;
- A planned budget for your research and how this will be funded. The student should acknowledge that costs that exceed approved faculty research funds will be covered by them;
- An indication of where the research will be conducted;
- Progress and activity to date;
- A timetable for completion;
- Publications and Presentations;
- References.

Note: further details on ethics requirements, and the consequences of not obtaining appropriate ethical approval can be found on page 103.

Guidelines on the expected content and format can be found on the Confirmation of Candidature Research Proposal form.

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

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

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

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

Confirmation of Candidature Review and Presentation

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

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

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

Confirmation of Candidature approval

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

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

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

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

Ethical Approval

Students may begin preparing their ethics application at any time but normally cannot start recruiting participants or collecting data until both their confirmation of candidature

and ethics application have been approved.

The only exception is when the doctoral research proposal includes a pilot study. If the pilot study involves human participants and is being used to test the feasibility or effectiveness of the research design, ethics approval must be obtained before any recruitment or data collection for the pilot begins. After confirmation of candidature, a separate ethics application is then required for the main study.

Students are recommended to develop both their ethics application and confirmation of candidature at the same time. It is the responsibility of the student and supervisors to ensure that any applicable requirements for ethical approval are met prior to beginning recruitment and data collection. For more information on ethical requirements see page 103.

Research Data Collection

Doctoral students must not begin their main data collection before confirmation of candidature, unless a pilot study is required for the confirmation process. If the pilot study involves participants to test the feasibility of the study design or research tool, ethical approval must be obtained before any recruitment or data collection begins.

Pilot study data may be collected before confirmation only if the pilot study was included in the student's doctoral admission form and approved during the admission process, and ethical approval has been received. A copy of the ethics approval letter must be attached to the confirmation of candidature application if data collection has already started, or if the students research is part of a larger project that has already received ethical approval.

Business Cards

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

Change of Study Location

Change Request/Variation of Record

Note:

- Previously 'Change of Study Location' was referred to as 'Off-Campus Registration'.
- Where a student is travelling off-campus temporarily for data collection purposes the student should complete the Notification of Research Related Travel form. See page 102.

All research students will normally be required to conduct their study on one of the Auckland based AUT campuses. However, in some circumstances, a student may need to permanently change their study location, either within New Zealand or off-shore. A Change of Study Location Protocol has been created which documents conditions and a process whereby a student may be given permission to conduct their study off-campus.

Where a student needs to change from studying on campus to off-campus (either within New Zealand or offshore) on a permanent basis they will need to complete Change Request/Variation of Record form to request a Change of Study Location.

Permission will normally only be granted where:

- AUT does not have the facilities required to conduct the research;
- Adequate arrangements are made to support the student from a distance.

International Students

International students and permanent residents may not qualify for domestic fees when residing overseas. Students should consult with the International Advisors at Student Hub before committing to any plan that may affect this entitlement, and/or student visa requirements.

Applications

The student is expected to remain in close contact with their supervisor. A student can use the Admission to Doctoral Programme form or Postgraduate Research Proposal form to notify the university that they intend to reside off-campus. If a student's circumstances change during candidature and they are required to change their study location, the student should complete a Change Request/Variation of Record form to indicate this change and provide details|. Requirements in this situation are:

- The primary supervisor or co-supervisor (admin lead) must be an AUT staff member;
- Where possible, the student should have an additional supervisor, co-supervisor, or advisor locally;
- The Change of Study Location details should be submitted to the Faculty Postgraduate Board including a detailed plan on how the research project will be managed;
- The supervision agreement must be completed/updated and submitted with the request;
- Progress reports should include updates on supervision meetings and how the student is progressing, with specific comments from both the student and supervisor on how the research is progressing while off-campus.
- Doctoral students are required to be present in New Zealand for their Confirmation of Candidature presentation and the oral examination.

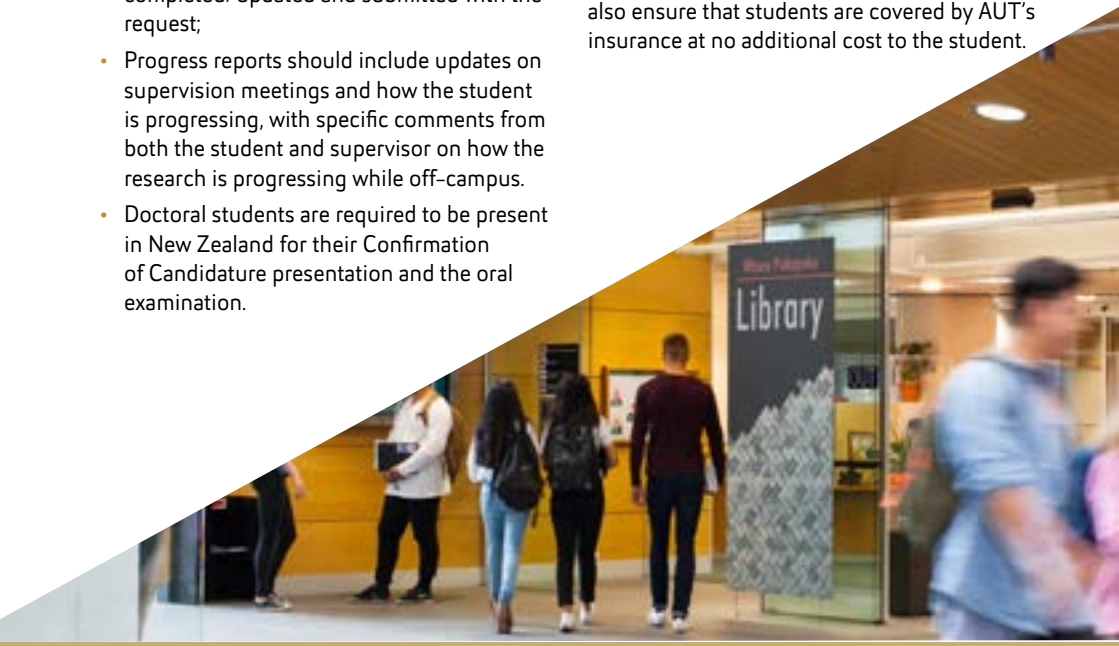
Supervision Meetings

Supervision meetings can include online meetings, email, phone or face-to-face etc. However, this may depend on the student's circumstances. Where a student resides off-campus, and the nature of the research requires "face-to-face" meetings, students are responsible for funding and arranging travel for supervision meetings.

Research Related Travel

Notification of Research Related Travel form

Students who will be undertaking university approved research related travel are required to complete the Notification of Research Related Travel form and the Postgraduate Research Student Travel Policy located on the University's Policy Hub is available for further information. The university has a duty of care to postgraduate research students and the university needs to be aware of where students are during research related travel in case of emergency. Students are required to book their travel via Orbit (AUT's travel provider) who will also ensure that students are covered by AUT's insurance at no additional cost to the student.



RESEARCH ETHICS

aut.ac.nz/research/researchethics

Researchers are expected to behave in an ethically-responsible manner in their activities, refer to AUT Code of Conduct for Research. Research ethics is an integral part of planning, conducting and reporting on your research. It provides guidance for responsible research to protect the dignity, rights and welfare of participants, communities, our University and you as a researcher. Several key documents underpin ethical research globally, providing frameworks and guidelines for researchers and institutions. These include the Nuremberg Code, the Declaration of Helsinki and the Belmont Report.

In New Zealand, ethics committees emerged out of a critical inquiry to examine whether women were intentionally undertreated without their consent or proper approval in the so-called 'Unfortunate Experiment' which took place at National Women's Hospital in Auckland, between 1966 and 1982. Recommendations from the Report led to the establishment of ethics committees, the Health Information Privacy Code, and the Office of the Health and Disability Commissioner. New Zealand key guidance documents include Te Ara Tika: Guidelines for Māori Research Ethics, The Health Research Council of New Zealand's Guidelines on Ethics in Health Research and National Ethical Standards for Health and Disability Research and Quality Improvement.

The Auckland University of Technology Ethics Committee (AUTEC) reviews research and teaching involving human participants to ensure compliance with ethical guidelines that aim to protect participants. This upholds the University's responsibility to ensure the privacy, safety, health, social sensitivities and welfare of human participants are adequately protected.

Research ethics approval ensures consistency and impartiality in considering the interests of potential participants, as well as providing a degree of protection for researchers. Comprehensive and up to date information about research ethics approval processes is available online at aut.ac.nz/research/researchethics.

Research Ethics Approval

Research involving human participants, human data or animals requires review by an appropriate ethics committee before recruitment and data collection begins. Certain categories of research and some teaching activities must be approved in accordance with the AUTEC guidelines and procedures. In other circumstances, research ethics applications must be submitted to a Health and Disabilities Ethics Committee (HDEC). Find out if your study requires HDEC review.

AUT research students who are part of an established study or a sub-study to a larger research project, that already has HDEC approval are not required to also obtain AUTEC approval.

There are some exemptions for research ethics approval. However, even if a planned activity qualifies for an exemption, approval may still be required by funding agencies or for publication.

If ethics approval is not gained and data is collected without ethics approval (including collecting data overseas without local ethical approval) the resulting work cannot be published, for example either in a thesis, or scholarly work. Any data from an unapproved data collection process, including any analysis and conclusions

derived from it, must be removed prior to submission for examination. This could significantly impact the completion of a thesis). If a thesis has already been submitted for examination without research ethics approval it may be withdrawn from the examination process.

Failure to obtain the necessary research ethics approvals, or any breach of ethics approval conditions, will be regarded as research misconduct and may result in disciplinary proceedings.

If you are in any doubt about the need for ethics approval, discuss the proposed research with the AUTEC Secretariat.

Note: An approved ethics committee will not grant retrospective approval for any study.

Overseas Data Collection

Where data collection will be undertaken overseas, the student must investigate if there are any local ethical requirements and report back to their supervisor(s). The student and supervisor(s) must work together to satisfy local ethical requirements. A local ethics approval letter is required. Failure to obtain or comply with local ethical requirements may result in disciplinary action for both the supervisor(s) and student.

Responsibilities of Supervisors and Students

For student research at AUT, the primary supervisor is the applicant. It is the responsibility of the supervisor to ensure research ethics approval is obtained for all student research involving human or animal participants. Heads of School must sign applications before submission to the appropriate ethics committee.

Academic Responsibilities of Supervisors:

- Discuss any research involving human participants or human data with your student;
- Read, edit and provide feedback on your student's research ethics application;
- Sign your student's research ethics application as appropriate;
- Ensure Head of School or, if appropriate, the delegated authority, has signed your student's research ethics application;
- Submit the application for appropriate research ethics approval on behalf of your student;
- Address requirements for research ethics approval with your student within an appropriate timeframe that does not compromise their research;
- Assist students with responses to conditional approvals or resubmissions;
- Supervise the ethical conduct of research outlined in the approved ethics application;
- Put forward any amendments to approved research projects to the AUTEC Secretariat for approval prior to implementation of the change;
- Ensure AUTEC is provided with the required progress and completion reports.

Responsibilities of Students':

- Discuss any research involving human participants or human data with your supervisor;
- Become familiar with ethical principles;
- Become familiar with AUTEC guidelines and procedures;
- Prepare your application in consultation with your supervisor and,

where appropriate, an AUTEC faculty representative;

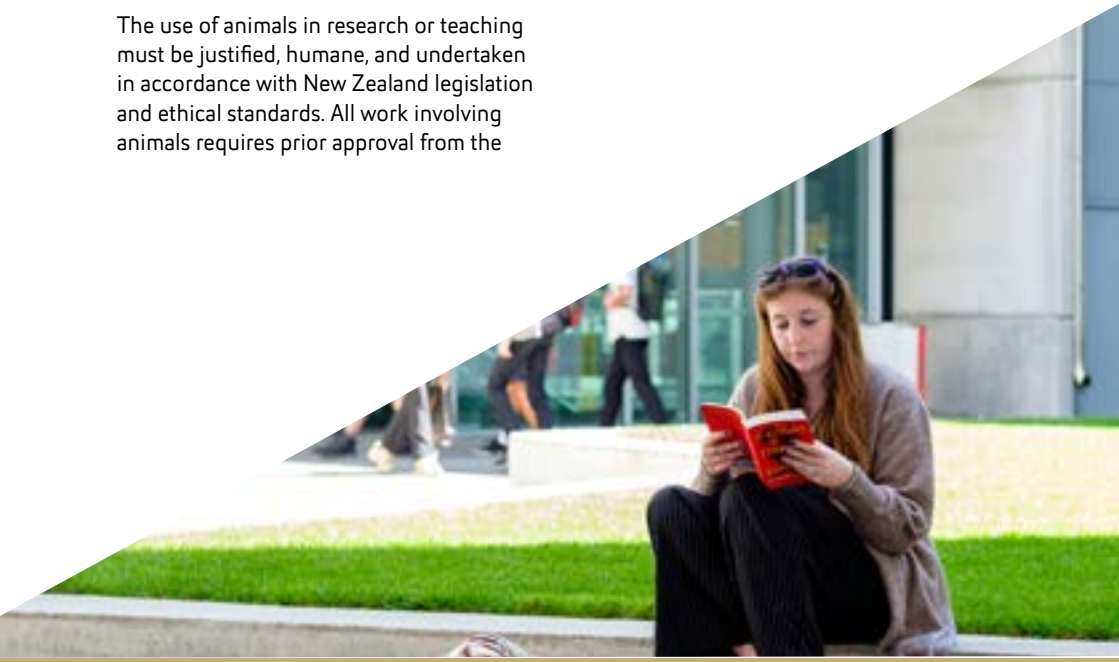
- Ensure your supervisor reads, edits and comments on the ethics application;
- Sign your research ethics application;
- After AUTEC reviews your application, respond to feedback as appropriate in consultation with your supervisor;
- Undertake research in an ethical manner as outlined in your approved ethics application;
- Work with your supervisors to ensure any amendments to approved research projects are put forward to AUTEC for approval prior to implementation of the change;
- Prepare the required progress and completion reports.

Animal Ethics

The use of animals in research or teaching must be justified, humane, and undertaken in accordance with New Zealand legislation and ethical standards. All work involving animals requires prior approval from the University of Auckland Animal Ethics Committee (AEC).

AUTEC does not review or approve research involving animals but may require evidence of AEC approval for institutional oversight. It will refer to University of Auckland processes and governance of this committee.

Contact the AUTEC Secretariat Lead, AUT Research Ethics Office before applying to the University of Auckland Animal Ethics Committee.



RESOLUTION OF PROBLEMS

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

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

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

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

Step one

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

Step two

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

Step three

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

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

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

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

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

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

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

University Complaints Procedures

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

Bullying and Harassment

Bullying or Harassment of any form are not tolerated at AUT. AUT regards harmful and/or inappropriate behaviours involving staff and/or students, whether on or off campus, as unacceptable. It is important that staff and students feel safe and supported as well as encouraged to speak up if they have experienced an instance or instances of harassment, bullying or inappropriate behaviours. If you experience bullying or harassment, from other students, staff or your supervisor, there are processes to follow in order to ensure safety, and to ensure concerns or grievances are heard. Graduate research students who perceive that they or another student are being bullied or harassed can contact the Manager of Student Conduct to discuss options via email studentrelations@aut.ac.nz or phone 021 956 082.

Any University employee who perceives themselves to sexually harassed or is the witness of a sexual harassment concern is encouraged to reach out to a Respect in Action Contact. You can find the Contact details in Respect in Action, Ask for Help. Anonymous concerns and complaints are managed by the Respect in Acton Coordinator in consultation with other staff.

AUT takes all allegations and experiences of sexual harassment and harm extremely seriously. AUT invites students to either report anonymously or provide contact details to get support from an advisor here.

If things don't go to plan: Resolution of Problems

A productive supervisor/student relationship does not happen automatically; it develops over time and requires a commitment from both parties from the outset. As you progress through the research journey there can occasionally be issues such as your working relationship with a supervisor. It is hoped that most of the problems which arise are able to be resolved through discussion, with or without the assistance of a third party, but the process outlined below explains how issues can be addressed:

1. If you have an issue you should discuss this with your supervisor(s) in the first instance. If the issue is not then resolved, or you are not comfortable approaching your supervisor(s), your next step should be to contact the programme leader/head of graduate research in your School. This link provides details on Faculty contacts.

If your programme leader/head of graduate research is unable to resolve issues, they might refer you to the Associate Dean (Postgraduate) for the Faculty. Should the issue or complaint still not be resolved then the Associate Dean (Postgraduate) can raise it to the Dean of the Graduate Research School for you.

Lodging a complaint

If you feel your issue is not adequately resolved, you might choose to communicate a complaint directly to the University. You are strongly advised to seek support for this process from the AUT Student Association (AUTSA). AUTSA is independent from all academic departments at AUT and will greatly assist you with navigating problem resolution or complaints at any stage in the process. Contact AUTSA at autsa@aut.ac.nz or (09) 921 9805.

If you are not initially comfortable discussing your concerns in person you can do so via the Student Feedback page on the AUT website.

SPECIFIC LEARNING DIFFICULTIES

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

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

Asperger's syndrome;

Autism;

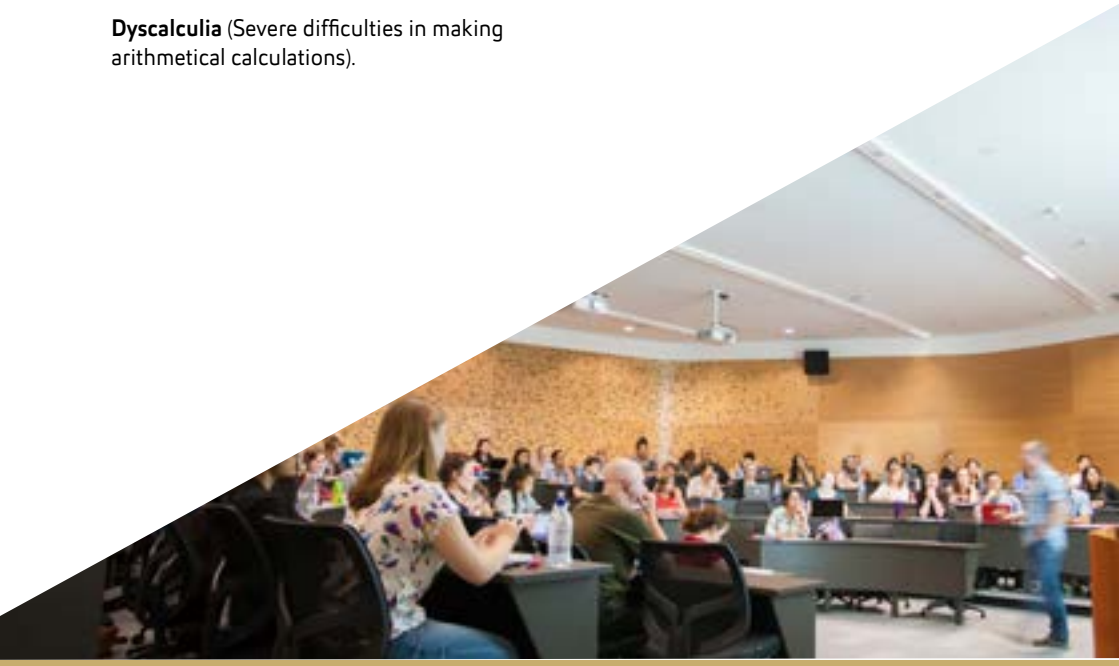
Dysgraphia (inability to write coherently);

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

Dyspraxia (movement and coordination difficulties);

Dyscalculia (Severe difficulties in making arithmetical calculations).

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



EXAMINATION

- EXAMINATION PROCESSES
- ASSESSMENT CRITERIA
- GRADUATION

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

Form of the Research Component for Examination

The research component should be a standard digital file as a pdf or interactive pdf. In the case of research components incorporating creative, non-written work, an exegesis must accompany the visual work. Students should consult with their supervisor.

Supervisors Checklist

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

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

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

Refer to the Postgraduate Research page on the AUT website.

Early Submission of Research Component

Normally, students may not submit for examination before completion of minimum full-time equivalent (EFTs) are completed for their programme. Early submission of a research component for examination will only be considered under exceptional circumstances and by approval from the University Postgraduate Research Board.

If approved, the student may be able to submit early, provided they have already enrolled in the minimum EFTs required for their programme and the examination takes place during this period. Students who have early submission for examination approved may not be eligible to graduate until the end of their enrolment period.

Note: International students approved for early submission are strongly encouraged to consult an AUT International Student Advisor to understand any implications on their current visa and/or any future plans to apply for a post-study work visa.

HIGHER DOCTORATE EXAMINATIONS

Review Process

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

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

Examination Process

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

Appointment of Examiners

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

Examination Criteria

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

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

Examination Outcome

The examiners will:

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

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

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

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

Re-Applications

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

Appeals

Appeals Against the Outcome

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

DOCTORAL EXAMINATIONS

Note:

Examiner Communication

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

The following sections refer to the processes for format one and format two. A separate section outlining the requirements for format three Practice-Oriented research is located on page 126.

Examination Timeframe

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

Note: For theses received by the GRS examinations team between August and December, the examination process will normally take up to six months due to the Christmas period over December and January.

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

Off-Campus Oral Examination Requests

Normally, oral examinations are undertaken on campus to maintain the integrity of the examination process and to ensure that the examination process remains consistent. Any requests for off-campus oral examinations will be determined on a case-by-case basis by the University Postgraduate Research Board.

Requests should be made in writing prior to submission for examination.

Graduation Timeframe

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

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

Enrolment During Examination

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

Appointment of Examiners

Appointment of Examiners form

Requirements

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

Doctoral theses are normally assessed by two external examiners, one New Zealand examiner and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than two doctoral theses. Both examiners may be international if a suitable New Zealand examiner is not available.

Examiner Nomination

Examiners are nominated by the primary/co-supervisor (admin lead), in consultation with the supervisory team, and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae). Availability for participation in the oral examination should also be established at this stage.

Students may initiate a discussion with their supervisor(s) and/or Faculty Associate Dean (Postgraduate), as to the range of possible examiners. Students may also indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. The Faculty Associate Dean (Postgraduate) or the supervisors may also initiate this discussion. The overall process of appointment of examiners should not result in the student being given the names of the examiners finally recommended. Care must always be taken not to jeopardise the integrity and independence of the examination process.

Adjunct Staff

Adjunct staff who are appointed as an examiner will be treated as an external examiner.

Conflict of Interest

Normally, no examiner should have been a supervisor for the student at any stage nor have had any input or involvement in the research. It is highly recommended that supervisors do not overuse individual examiners. A Conflict of Interest Protocol is available on the AUT website:

Refer to the Postgraduate Research Page on the AUT website.

Examiner Independence

[1]Normally a maximum of two appointments of the same examiner for students with the same primary supervisor/co-supervisor (admin lead) within a 12-month period is permitted. If a supervisor wishes to exceed this maximum then they should provide a clear justification when making their nomination (via the Appointment of Examiners form).

Examiners' Experience

All examiners should normally have experience in the discipline and or methodology of the thesis being examined, and have international standing. The parameters outlining international standing include, but are not limited to:

- Journal publications (or equivalent) and the quality of the journal;
- Current relevant research and scholarship in the broad topic and/ or Methodology(s) used;

1 Recognising that some disciplines have a very limited pool of examiners (e.g. for Māori and Pacific scholars) where this would not be applicable.

- Recognised academic or scholarly impact (on public or social policy);
- Doctoral qualification or equivalent.

Note: Professional Doctorates may have an examiner appointed, in exceptional circumstances, who is an expert within a specialist field of practice who may not hold a doctoral qualification.

Formal Appointment

Once the recommended examiners are approved by the relevant faculty committee and ratified by the University Postgraduate Research Board, the Graduate Research School (GRS) will formally invite the examiners to confirm their willingness to act in this role and their ability to provide a report within the specified timeframe (usually eight weeks from receipt of thesis). Examiners are provided the details of the student, supervisors and research title and asked if they have a conflict of interest.

It is expected that the formal invitation from the GRS takes place prior to the thesis being submitted and with sufficient time to call on reserve examiners, or to arrange new examiners if the original nominees are unable to undertake the role.

Examiners are advised that their identity will be disclosed to the student and supervisor(s) one week prior to the oral examination.

In the event of a delay of more than six months in the lodgement of the thesis for examination, the supervisor should reconfirm the examiners' availability and inform the GRS who will notify the examiners of the delay.

Convenor

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

A Convenor is a member of the Professoriate or a senior member of staff who is fully conversant with University regulations and normally has:

- Been recommended by their Faculty Associate Dean (Postgraduate);
- Had multiple supervisions with successful completions;
- Had experience as a doctoral examiner;
- Maintained their eligibility to be a supervisor;
- Engaged with the required Convenor Workshop module on Canvas.

Following completion of the Convenor Workshop module, a Convenor will observe one oral examination then will facilitate their first oral examination with a mentor to assist when required.

Payment of Honoraria

An honorarium may be paid to external examiners. The normal amount is approved annually by the University Postgraduate Research Board. After the doctoral oral examination, the GRS will arrange for payment of the honorarium, if applicable.

Key Points to Note When Considering the Appointment of Examiners

Reserve Examiner

While a reserve examiner is not required; a reserve examiner should be considered. This can shorten delays where an original

examiner becomes unable to participate at any stage of the examination or an additional examiner is required. The reserve examiner should normally be external. The reserve examiner should normally be informally approached to take part in the examination where required. The GRS will send a formal invitation.

Mentor Examiner

It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. The examiner mentor is to be an AUT staff member and is not required to read the thesis but is required to answer questions on the examination process. The faculty should notify the mentor that they have been appointed when the examiners are approved.

Internal Staff and External Examiners

An external examiner is defined as a person who is not employed as a member of staff of AUT at the time of invitation or examination. AUT staff members who have left the University would still be considered 'internal' for up to three years and will not be able to examine doctoral theses during this period. AUT doctoral graduands can examine, however they should not normally be appointed for up to three years after graduation, and only if they are not employed by AUT University.

Confidentiality/Embargoes

Application for Embargo form

Where an embargo has been approved all examiners will be required to sign a confidentiality agreement prior to the thesis being sent to them.

Students should normally apply for an embargo with their Confirmation of Candidature form. However, they may also apply to have an embargo for their research component at the time of lodgement for examination by using form Application for Embargo.

It is important to note that, due to the additional administration involved in processing confidential material, there may be a delay in the examination process while the University waits for a signed confidentiality agreement from all examiners unless the request is submitted with the Appointment of Examiners form, prior to submission.

Notification of embargoes subsequent to the dispatch of the thesis for examination will not result in appropriate confidentiality agreements being arranged with examiners. Please also refer to the 'Confidential Material' section on page 91 for guidelines and processes.

Submission for Examination

Lodgement for Examination

Note: See Appendix D on pages 171–173 for flowcharts on examination processes

The minimum timeframe for PhD students to submit for examination is three years full-time or six years part-time of their first enrolment. The minimum timeframe for professional doctorate students to complete the thesis component is two years full-time or four years part-time. If additional time is required an extension request must be lodged and approved by the University Postgraduate Research Board.

A student must lodge one digital copy of the thesis for examination with the faculty/school postgraduate office, accompanied by an electronic copy of the completed Lodgement for Examination form. If examiners require a hard copy of the thesis, the examiners will print their own copy and, where applicable, be reimbursed printing costs by the relevant school/faculty. If the hard copy of the thesis is a specific creative art work, the school will arrange the printing and payment and will deliver the thesis to the GRS for distribution.

The title of the thesis at submission for examination will be the final thesis title used for lodgement on Tuwhera (where a thesis title is required to be changed following the recommendation of an examiner, the student should contact the Graduate Research School to notify them of the change and the new title details).

Lodgement of the thesis and form need to be signed off by the student's supervisors and approved by the Associate Dean (Postgraduate), or delegated authority. All copies are then forwarded to the GRS for examination.

Declaration of Suitability for Examination

The supervisory team and Associate Dean (Postgraduate), or delegated authority, are required to declare that, in their judgement, the material submitted for examination meets the requirements as stipulated in the guidance provided in this handbook (i.e. relevant to the thesis format or exegesis and practice-based work). This relates to the presentation of the materials, including appropriate structure/format, legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors in the research component. However, this declaration is not an indication of the quality of the work and is not a basis for anticipating or predicting the outcome of the examination process. The examination process is independent from the supervisors and the outcome from the examination is solely determined by the formally appointed examiners.

A checklist for supervisors that covers all aspects of what should occur for the submission process is available on the GRS website.

Refer to the Postgraduate Research page on the AUT website.

Submission Against Supervisor Advice

It is important to note that a student has the right to request that the thesis be examined, even though the supervisor(s) may not believe it to be of a suitable standard. Such instances must be clearly identified on the lodgement form, which must have statements from the supervisor(s) and the student outlining the circumstances attached to it.

Where the Faculty Associate Dean (Postgraduate) or delegated authority is not prepared to sign off for examination, this should also be noted on the Lodgement for Examination form along with an explanation of the reason. In such circumstances the GRS will consult with the Dean of the Graduate Research School on appropriate action.

Attestation of Authorship

On the first page after the table of contents, students should attest and sign, certifying the original authorship of the thesis, a declaration. The style and reference for this can be found on page 60.

Note that, for format two, co-authorship needs to be declared. Refer to co-authored works on page 61.

Turnitin

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

Faculties may submit student's research proposals, or Confirmation of Candidature forms through Turnitin as part of the approval process.

It is compulsory that the research component, except those presented in te reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. Students should discuss the Turnitin report with their supervisor prior to submission. A section has been included on the Lodgement for Examination form for supervisors to indicate that this has been completed.

Workshops will be provided for supervisors through the Supervisor Workshops offered though the GRS's Researcher and Education Development unit; supervisors can email supervisor.workshops@aut.ac.nz to register.

Turnitin Draft Coach

Turnitin Draft Coach is available for AUT staff and students, using their AUT login credentials, via Microsoft Word online. Draft Coach can be used to get a Turnitin similarity score as well as citation and grammar checks, while drafting work.

Draft Coach can only be used up to three times per document to check work during the drafting process. If the number of Draft Coach attempts is exceeded during the drafting process the final Turnitin submission prior to examination, will need to be undertaken using Turnitin Online (on PG_Me).

Turnitin on PG_Me

Turnitin is available for research submissions through the PG_Me Course on Canvas. It is important that students use this version rather than any other version of Turnitin available through other course organisations available to students from previous enrolments. The PG_Me instance of Turnitin allows research students to submit their work without information being stored within the Turnitin database. If Turnitin is used from other areas in Canvas a copy will be saved on Turnitin's database.

Dispatch

Note: Theses will not be sent for examination if there are any outstanding fees.

Once the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. Examiners will receive a link to download the thesis. If an examiner requires a hard copy, the examiners will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment. The examiners are also sent a copy of the University's briefing pack for examiners and informed of the date their reports are due.

The GRS will notify students and their supervisors once the thesis is sent.

Examiners' Reports

Each examiner is asked to examine or consider the thesis and present an independent report to the GRS. Each examiner is asked to comment on:

- The overall performance of the candidate in relation to peers on comparable programmes.
- The appropriateness of research methods used.
- The student's original contribution to knowledge and practice in their chosen discipline or field of study/practice.
- The depth and breadth of coverage of the subject matter concerned.
- The presentation of the thesis.
- The quality of the knowledge and skills (both general and subject specific) demonstrated by the candidate.

* Research component length includes everything from the introduction to the conclusion, including foot notes but not including bibliographies, references or appendices.

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

All examiners' reports will normally be released to the student at the oral examination briefing, 7–10 days prior to the oral examination. The examiner's report will not contain the examiners provisional recommendations.

Note: Where there is no clear agreement on the provisional outcome of the examination, an additional examiner may be appointed and the thesis sent for further examination.

Examiners' Recommendations

Examiners are required to provide a written report and provisional recommendation and return these to the Graduate Research School. There are a number of possible outcomes from the examination process (see page 120 for further information) and the Examination Panel are required to identify the one recommended as the most appropriate for the student.

Outcome 1: That the student be awarded a doctoral degree;

Outcome 2: That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor/co-supervisor (admin lead) or nominee;

Outcome 3: That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of:

a. the primary supervisor /co-supervisor (admin lead) and/or

b. examiner(s) as appropriate or

c. examiner(s) as appropriate with a second oral examination following the revisions.

Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;

Outcome 5: That the thesis is not of an acceptable standard and the degree not be awarded;

Oral Examination

Note: See Appendix D on pages 171– 173 for flowcharts outlining the examination processes.

The Convenor is responsible for overseeing the arrangements for the oral examination in conjunction with the GRS.

Oral Examination Briefing

In order to ensure the student is familiar with the format of an oral examination, an oral examination briefing will be held with the Convenor, supervisor(s) and student, 7–10 days prior to the actual examination.

At least one of the supervisors will be required to attend the oral examination briefing and be available afterwards to discuss the examiners' reports with the student.

At this meeting the Convenor will explain the oral examination process to the student, disclose the identity of the examiners. and provide anonymised copies of the examiners reports. The anonymised copies will not contain the examiners provisional recommendations. Normally, these will not be made available outside this meeting. However, where an oral examination

meeting occurs less than one week prior the reports will be emailed to the student and supervisors separately.

Supervisor's Report

Where special circumstances exist, that examiners should be made aware of, the primary supervisor should provide a report. This will be discussed with the Convenor at the oral examination briefing.

Oral Examination Process

Appointment of Examiners form

Oral Examination Panel Report form

Note: The timetabling of the oral will only be scheduled around the availability of the examiners, Convenor, and primary supervisor/co-supervisor (admin lead).

Students may opt for an in person or online oral examination. However, if the student opts to undertake their oral examination online they must inform the GRS examination team, this should be done at the time of submitting the thesis for examination.

The oral examination criterion is:

- To independently discuss their thesis with criticality at doctoral level.

Normally, the scheduling of the oral examination takes place within two months of receipt of all the examiners' reports. The oral examination panel normally has both examiners present (either in person or via video-conference). Video/ teleconferencing will be arranged through the GRS.

At the commencement of the oral examination, following the introductions, the student is asked to provide a five minute verbal summary of their research, for example its motivations, findings and contribution. A visual aid, such as PowerPoint (or equivalent) is not to be used unless by special request.

The Convenor will chair the oral examination, ensuring that the examiners have the opportunity to raise questions and seek clarification/explanation from the candidate on the materials they submitted for examination.

A discussion between the Convenor and examiners will determine the order of questioning and who will present the absent examiner's questions will occur prior to the student being invited into the room. The Convenor will seek to chair the process and manage the questioning so that examiners are able to put their questions and the student is able to address these questions in a fair and timely manner. The Convenor will not express views on the quality of the materials submitted for examination.

Role of the Supervisors

At least one of the supervisors will be required to attend the oral examination, providing points of clarification when necessary as requested by the Convenor and to provide collegial support for the student. The GRS will invite all members of the supervisory team to attend the oral examination to provide support for the student. If neither supervisor is able to attend the examination due to exceptional circumstances, the Associate Dean (Postgraduate) must nominate a faculty representative to attend in their place.

Students may invite friends or family as support. However, they will not be permitted to be present in the examination room.

Outcome

At the conclusion of the oral examination, the Panel will attempt to reach a consensus on the final recommendation. If the Panel reaches agreement, the Convenor will complete the Oral Examination Panel

Report and write a brief report on the oral examination and submit this report along with the summary recommendation to the GRS for the next meeting of the University Postgraduate Research Board.

As mentioned on page 119, the possible outcomes are:

Outcome 1: That the student be awarded a doctoral degree

This does allow the student to address any typographical errors and minor editorial matters.

Outcome 2: That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor /co-supervisor (admin lead) or nominee;

These include more than superficial editorial amendments.

Normally, minor amendments take up to one month full-time equivalent.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary. When these required amendments have been completed to the satisfaction of the nominee(s) specified in the Convenor's summary, that person will forward an Amendment to Thesis form to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Research Board and recommend to Academic Board the award of the degree.

Outcome 3: That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor /co-supervisor (admin lead) and/or examiner(s) as appropriate;

These include more than minor amendments and can include rewriting a chapter reorganising material in the thesis, improving or clarifying an argument, omitting or deleting sections of the thesis.

All new submissions from 1st September 2025, the outcome may be split into three different options:

3a. Amendments are completed to the satisfaction of the supervisor(s)/Co-Supervisor (admin lead)

3b. Amendments are completed to the satisfaction of the examiner(s)

3c. Where the amendments are to be signed by the examiner(s), the examiner(s) may request a second oral examination following the revisions.

Normally, amendments take up to three months full-time equivalent.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in 3a, or 3b, that person will forward an Amendment to Thesis form to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Research Board and recommend to Academic Board the award of the degree.

Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;

This outcome means the student does not meet the criteria for examination:

- There is limited or no internal

consistency;

- More data are required;
- There are methodological issues;
- Multiple chapter changes;
- One or more of the above may include an in-depth re-writing of the literature review.
- The examiners may recommend that the thesis be revised and resubmitted either:
- In their reports; or,
- As a result of the oral examination.

In the first instance the Dean of the Graduate Research School or nominee/Convenor will contact the examiners and seek consensus (where they are not unanimous) and the revisions will be agreed to. The oral examination will be held after the revisions have been completed.

In the second instance the revisions will be recorded in the examination. On resubmission, the examiners will be asked to assess whether a second oral examination will be required.

Students will be given the opportunity to proceed with the oral examination if they wish.

Normally, revisions take between four to twelve months full-time equivalent.

Outcome 5: That the thesis is not of an acceptable standard and the degree not be awarded;

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

In this situation the thesis cannot be resubmitted for the same degree. In consultation with the examiners, and with the permission of the University Postgraduate Research Board, a revised thesis may be submitted for a lesser degree. Where it is recommended that the degree not be awarded, and no re-examination is permitted, the examiners shall prepare an agreed statement of deficiencies of the thesis, and the reason for their decision, which can be forwarded to the student through the University Postgraduate Research Board.

Recommendation for the Award of the Degree

Where recommendations and reports are unanimous, the University Postgraduate Research Board accepts recommendations; where these are not unanimous the Board:

- Accepts a majority recommendation (where the majority includes external examiner recommendations); or
- Accepts the recommendations of external examiners.

If the Examination Panel is unable to reach agreement on the outcome of the examination process, the Convenor will seek approval from the University Postgraduate Research Board to proceed with an alternative action (including further assessment of the thesis) in order to resolve any impasse.

Note:

- In extenuating circumstances, examiners may recommend that the research component be permanently embargoed. When this is recommended the University Postgraduate Research Board will carefully review the recommendation and the student and supervisors will be informed of this outcome. This will mean that the research component will not be required to be uploaded to Tuwhera.

Amendment Submission

Amendment form

The student will be advised what amendments are necessary, verbally and in writing. Where clarifications are needed on the required amendments, the student or primary may contact the GRS. When the required amendments have been completed to the satisfaction of the nominee(s), specified in the Convenor's summary, that person will forward an Amendments form, to the GRS confirming that all the corrections have been completed satisfactorily.

Amendments are to be made to the final copy of the thesis. The GRS will then notify the UPRB and recommend to Academic Board the award of the degree.

For outcome 3, amendments can be submitted for sign off no more than twice. Where amendments have failed to be successfully completed after the second submission, or the oral examination criterion is not met following the oral examination resit, the outcome recommendation will be rescinded, and the thesis will be deemed as not of an acceptable standard and the degree not awarded.

Release of Information

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

The determination of the University Postgraduate Research Board will be conveyed in writing to the student by the Graduate Research School. The University Postgraduate Research Board will recommend that Academic Board approve the awarding of degrees to those students who have fulfilled all graduation requirements.

Examiners will be asked to return their copies of the thesis. Occasionally an examiner will ask to keep a copy of the thesis. Such requests will be passed on to the student after the examination process is complete.

It is the practice of the University that the outcome of the student's degree be formally acknowledged to the examiners by the Graduate Research School.

Revise and Resubmit Process

Revise and Resubmit form

Outcome

Students must be able to complete the changes for the revised thesis within the timeframe agreed by the University Postgraduate Research Board as recommended by the examiners. This will normally be for a period of up to 12 months. If this is not possible, the student may not be awarded the degree.

Process for Revision

The purpose of the revision period is to complete the revisions as defined by the examiners. During this period students will be enrolled and continue to receive advice from their supervisors.

The Associate Dean (Postgraduate) will oversee the resubmission process against an agreed plan. The supervisors are responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a Revise and Resubmit Doctoral form outlining criteria where the examination criteria have not been met and detail the revisions required.

If required, an experienced supervisor (who

may be external from the Faculty) may be appointed, with expertise in methodology and/or area of scholarly inquiry, to work with the supervisory team. The following is required:

- An agreement which details a plan with specific milestones and timetable for resubmission;
- Meeting schedule, is to be signed by all parties and sent through the Faculty Postgraduate Committee to the University Postgraduate Research Board.;
- Any deviation to the agreed plan must be discussed with the Associate Dean (Postgraduate) and reported to the University Postgraduate Research Board.

After the examination enrolment ends, the student will be enrolled into a 6-month nil tuition fee enrolment while revisions are undertaken. If the student requires more time beyond the end of this enrolment, they may re-enrolled for a further 6-month nil tuition fee enrolment (12-month total enrolment in revise and resubmit).

The normal support the student will receive through the resubmission includes a schedule of meetings between the Associate Dean (Postgraduate) and/or supervisor and the student:

- Where a six month resubmission is decided, monthly meetings are required;
- Where a twelve month resubmission is decided, two-monthly meetings are normally required;
- Where the student is not meeting the milestones detailed in the plan the student's candidacy will be discontinued, and a DNC grade will be entered;
  - A student not meeting their milestones in the agreed plan will receive a final warning after the first set of milestones have not been met
- A student is required to submit a Progress Report every two months, however these may increase in frequency as determined by the Associate Dean (Postgraduate). The progress report should detail any unsatisfactory progress, where applicable;
- The Associate Dean (Postgraduate) will provide monthly verbal updates to the University Postgraduate Research Board.

Process for Resubmission

Following the completion of the revisions, prior to re-examination, the normal doctoral submission process will be followed, e.g. completion of a Lodgement for Examination form (see Submission for Examination details on page 116).

Types of Re-Examination

There are a number of types of re-examination:

1. A re-examination of the thesis after revision and the holding of an additional oral examination;
2. The thesis only to be re-examined after revision;
3. An additional oral examination (without the need to revise or resubmit the thesis);
4. The holding of a different form of examination to test the student's knowledge.

Re-Examination

Once the revisions are successfully completed, the standard examination processes should be followed, in the same manner as the first examination. At the discretion of the University Postgraduate Research Board, the revised thesis may be sent to those examiners wishing to re-examine. Where an original dissenting examiner declines to re-examine, another examiner will be appointed. This examiner may be the reserve examiner appointed for

the original examination. Where examiners are unable to agree on an outcome for the second examination the University Postgraduate Research Board may consider appointing additional examiners or a moderator.

For students whom a revise and resubmit outcome was determined at the oral examination, the examiners will determine if a subsequent oral examination is required or if the examination of the thesis only is sufficient. For students whom a revise and resubmit outcome was determined during the writing of the examination reports of the thesis will be required to undertake an oral examination.

The student will be permitted to submit the thesis for re-examination only once. Examiners will be informed that there will be no option to recommend a further revise and resubmit outcome.

The Convenor for the initial oral examination will normally be re-appointed and provided with an update that the revisions had been made on re-submission by the Graduate Research School.

Final Outcome

A student who has been required to revise their thesis may not have a further outcome of revise and resubmit. The outcome must be either a pass or fail. A pass grade can be awarded with amendments, which need to be completed within the allocated timeframes – see pages 120-122 for amendment timeframes.

Where examiners recommend that a student be awarded a fail grade the student will be given the opportunity to request an oral examination if they wish. Students who are not awarded the doctorate may be awarded a lesser degree, refer to page 122 'Outcome 5'.

Examination of Practice-Oriented Research

In addition to previously stated examination processes, the examination of creative works requires further points of consideration stated below.

Three to six months prior to the creative examination the supervisors and Postgraduate Head are to meet with the Graduate Research School Examinations Officer to discuss the logistics of the examination. The following is to be discussed and confirmed:

- What form the examination will take;
- Scheduling, including viewing of the work and oral examination;
- Confirmation of the examiners (The Appointment of Examiners form, having obtained sign off from the Head of School);
- The School's PhD programme leader is to be included in all communications;
- Nature of Practice-Oriented Examinations.

The creative research examination may take one of two forms:

- Where the artefact or other approved output is sent to the examiners, along with the exegesis. In such instances the examination will be managed in a similar way to traditional theses where no in-person exhibition or performance is required;
- Where the examiners are required to attend a performance/exhibition in person.

Where the student requests an alternative examination process (such as the location of the oral examination), a variation may be considered on application and in consultation with the Graduate Research School.

Appointment of Examiners – Practice-Oriented

Appointment of Examiners form

The primary supervisor /co-supervisor (admin lead) should informally approach examiners approximately six to nine months prior to the expected date of submission regarding their ability and willingness to examine. The supervisor should also discuss the following with the examiners:

- That they may be required to be present for the exhibition/performance;
- Tentative timeframes for the oral examination;
- Advise that they will be required within one to four months to attend the oral examination by video conference.

Doctoral theses are normally assessed by two external examiners, one New Zealand based examiner, and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than two doctoral theses.

If it is determined that an in-person exhibition is necessary for the research project, both examiners will attend. If it is pre-determined that an international examiner is critical, then consideration of travel costs must be considered.

In some circumstances two domestic examiners may be appointed upon special approval from the University Postgraduate Research Board after reviewing an application from the supervisors detailing the reasons for the request.

Once the examiners have been formally approved, the Graduate Research School coordinates with the examiners a timeline for the examination as well as organising any travel and accommodation arrangements.

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

Submission of the Exegesis – Practice-Oriented

Lodgement of Thesis for Examination form

A student must lodge one digital copy of the doctoral exegesis for examination with the faculty postgraduate office, accompanied by an electronic copy of the completed Lodgement of Thesis for Examination form. Lodgement of the exegesis and form need to be approved by the Associate Dean (Postgraduate), or delegated authority. The electronic copy of the thesis and lodgement form are then forwarded to the Graduate Research School for examination.

There are two options for the submission of the exegesis.

Option 1: Where the exegesis is completed prior to examining the practice.

The exegesis will be submitted at least four weeks prior to the examination. This is the current 'normal' submission process.

The examination will normally commence with the viewing of the work. The student will normally be present to provide clarification when necessary. The supervisor(s) may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and be given three weeks to write their reports which will be provided to the student and supervisors one week prior to the oral examination.

Option 2: Where a reflection and final refining of the exegesis follows the examined exhibition or performance.

Note:

- This option requires sign off approval by the student's supervisors and the degree Programme Leader.
- The student is considered to be under examination throughout this entire process.

An exegesis summary document will be provided to examiners at least four weeks prior to the examination of the practice. This document, of approximately 3000 words, will comprise an abstract, outline of the research aims and significance, key literature and methodology and may be in the form of an exhibition catalogue.

The examination will normally commence with the viewing of the work. The student is required to be present to provide clarification when necessary. The supervisor(s) may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and the exegesis will be submitted within three months. Once the examiners receive the exegesis they will be given three weeks to complete their reports which will be provided to the student and supervisors one week prior to the oral examination.

Oral Examination Briefing for Creative Works

Student:

The Convenor is responsible for overseeing the arrangements for an oral examination in conjunction with the Graduate Research School.

In order to ensure the student is familiar with the format of the examination, an oral examination briefing will be held with the Convenor, supervisor and student, one week prior to the exhibition/performance and the identity of the examiners will be disclosed.

A further oral examination briefing will be held one week prior to the oral examination where the examiners reports will be provided to the student and supervisors. At this meeting the Convenor will explain the oral examination process to the student.

Examiners:

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

Outcome and Recommendations of the Performance/Exhibition

If the Examination Panel is unable to reach agreement on the outcome of the oral examination process, the Convenor will seek approval from the University Postgraduate Research Board to proceed with other courses of action (including further assessment of the exegesis or creative work) in order to resolve any impasse.

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

MASTER'S AND BACHELOR WITH HONOUR'S EXAMINATIONS

Note:

Examiner Communication

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

Practice-Oriented Examination Process

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

Examination Timeframe

Examiners are asked to provide their reports within six weeks of receiving the research component.

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

Until the faculty postgraduate assessment 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 assessment board and/or the University Postgraduate Research Board. The entire examination process and determination of a final grade may take up to three months.

Students should note that this timeframe is a guideline only and that the examination process may extend past this period. The GRS maintains contact with the examiners to monitor progress.

Graduation Timeframe

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

Appointment of Examiners

Research Components of 90 Points and Above

Appointment of Examiners form

The examination process starts before the research component has been completed. Three months before a thesis is likely to be ready for examination, students should alert their primary supervisor /co-supervisor (admin lead) so that the appointment of examiners can be arranged. The primary supervisor /co-supervisor (admin lead) or programme leader should informally approach examiners regarding their ability and willingness to act before the thesis is expected to be submitted.
Research Components of 90 points and above are examined by a minimum of two examiners, one of whom should be an independent external examiner. Supervisors may not examine the work of their own students.

Examiners are appointed using the Appointment of Examiners form.

Research Components of less than 90 points

Dissertations and Research Projects can be examined in one of the following ways:

1. May be examined by a minimum of two internal examiners. Where appropriate an external examiner may be appointed. A supervisor may be appointed as one of the examiners.[1]
   - Examiners may be appointed using a Appointment of Examiners form or;
   - Examiners may be nominated in advance and appointed via a batch appointment using a spreadsheet or other cohort approval.
2. Research Components of less than 90 points may be marked and moderated in the same manner as a standard coursework paper, by the supervisor or paper leader.

In the circumstances where a supervisor is appointed as an examiner, a moderator is required. Where a student has more than one supervisor, only one supervisor may act as an examiner.

Examination Moderation

For research that is less than 90 points, and a supervisor or paper leader has been appointed as one of the examiners an independent moderator is required to be appointed for a cohort of students' dissertations or research projects. The independent moderator can be the department head, discipline head, Associate Dean (Postgraduate) or another appropriate nominee. The main purpose of moderation is to ensure that the student work has been marked fairly and that the grade awarded is appropriate along with:

- Ensuring consistency of interpretation of standards in relation to the assessment criteria;
- Ensuring consistency of marking across assessment of student work in the project or dissertation;
- Checking consistency using a pre–approved moderation process. Moderation can occur prior to approval of grades or after approval of grades.

Note: Where recommendation and reports are unanimous and represent a grade different of two grade points (e.g. B–, B+) the Associate Dean (Postgraduate) or nominee will undertake a moderation of the examination (see page 138 for details on the moderation process).

Examiner Nomination

Where there is a requirement for two independent examiners, the examiners are nominated by the primary supervisor, in consultation with the supervisory team, and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted.

Thesis students may initiate with their supervisor(s) and/or Faculty Associate Dean (Postgraduate), a discussion as to the range of possible examiners. Students may also indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. The Faculty Associate Dean or the supervisors may also initiate this discussion. The overall process of appointment of examiners should not result in the student being given the names of the examiners finally recommended. Care must always be taken not to jeopardise the integrity and independence of the examination process.

[1] A supervisor may nominate themselves as an examiner for their student's research components, however, this is subject to the approval of the Programme Leader or Associate Dean (Postgraduate) and formal appointment is not guaranteed.

Conflict of Interest

For research above 90 points no examiner should have been a supervisor for the student at any stage nor have had any input or involvement in the research. It is highly recommended that supervisors do not overuse individual examiners. A Conflict of Interest Protocol is available on the AUT website:

Refer to the Postgraduate Research page on the AUT website.

Examiners' Experience

All examiners should normally have experience in the discipline and or methodology of the research component being examined. Examiners' are also expected to hold a qualification of an equal, or higher level, than the one they will be examining.

At least one of the nominated examiners must have previous experience in the examination of research components at that level or higher. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae).

Formal Appointment

Once the recommended examiners are approved, the Graduate Research School (GRS), on behalf of the University, formally invites the examiners to confirm their willingness to act in this role and their ability to provide a report within the specified time frame (usually six weeks from receipt of the research component). Normally, the formal invitation would take place prior to the research component being submitted and with sufficient time to call on reserve examiners, or to arrange new examiners if the original nominees are for some reason unable to undertake the role.

Examiners are provided the details of the student, supervisors and research title and asked if they have a conflict of interest.

In the event of a delay of more than six months in the lodgement of the thesis for examination, the primary supervisor /co-supervisor (admin lead) should reconfirm the examiners' availability and inform the GRS who will notify the examiners of the delay.

Payment of Honoraria

At the discretion of the Faculty, an honorarium may be paid to external examiners. The normal amount is approved annually by the University Postgraduate Research Board. On receipt of the report from each examiner, the GRS arranges for payment of the honorarium, if applicable. Honoraria for Bachelor's with Honours and Master's examinations are not normally paid to examiners in the wider university community.

Key Points to Note When Considering the Appointment of Examiners

Staff Members

Where a student is also a member of staff, all examiners are to be external to the University. If a staff member is allied or professional they may have an internal examiner appointed where there is no conflict of interest and it is agreed by the Associate Dean (Postgraduate) in consultation with the Dean of the Graduate Research School.

Reserve Examiner

While a reserve examiner is not required; a reserve examiner should be considered. This can shorten delays where an original examiner becomes unable to participate at any stage of the examination or an additional

examiner is required. The reserve examiner should also be informally approached to take part in the examination where required. The GRS will send a formal invitation.

Mentor Examiner

It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. The examiner mentor is to be an AUT staff member and is not required to read the thesis but is required to answer questions on the examination process. The faculty should notify the mentor that they have been appointed when the examiners are approved.

Internal and External Examiners

An external examiner is defined as a person who is not employed as a member of staff of AUT at the time when invited to examine the thesis. An AUT staff member who has left the University would still be considered 'internal' for up to three years.

Confidentiality/Embargoes

Application for Embargo form

Where an embargo has been approved all examiners will be required to sign a confidentiality agreement prior to the thesis being sent to them.

Students should normally apply for an embargo with their Postgraduate Research Proposal form. However, they may also apply to have an embargo for their research component at the time of lodgement for examination by using form Application for Embargo.
It is important to note that, due to the additional administration involved in processing confidential material, there may be a delay in the examination process while the University waits for a signed confidentiality agreement from all examiners unless the request is submitted with the Appointment of Examiners form, prior to submission.

Notification of embargoes subsequent to the dispatch of the thesis for examination will not result in appropriate confidentiality agreements being arranged with examiners. Please also refer to the 'Confidential Material' section on page 91 for guidelines and processes.

Submission for Examination

Lodgement for Examination form

A student must lodge one digital copy of the thesis for examination with the faculty postgraduate office (submitted electronically to the Faculty/School Postgraduate Administrator), accompanied by an electronic copy of the completed Lodgement for Examination form. If an examiner requires a hard copy, the examiner will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment.

Lodgement of the thesis and form need to be signed off by the student's supervisors and approved by the Associate Dean Postgraduate, or delegated authority. The electronic copy of the thesis and form are then forwarded to the GRS for examination.

The submitted electronic digital copy must include a signed Attestation of Authorship Statement (see page 60).

Declaration of Suitability for Examination

The supervisory team and Associate Dean (Postgraduate), or delegated authority, are required to declare that the thesis is of a suitable standard for examination. This relates to the presentation of the thesis, including appropriate structure/format, legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication

of the quality of the work. The University will normally not proceed with the examination of a thesis considered not to be in a suitable form for examination.

A checklist for supervisors that covers all aspects of what should occur for the submission process is available on the GRS web-site.

Refer to the Postgraduate Research page on the AUT website.

Submission Against Supervisor Advice

It is important to note that a student has the right to request that the research component 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 lodgement form along with an explanation of the reason. In such circumstances the GRS will consult with the Dean of the Graduate Research School on appropriate action.

Attestation of Authorship

On the first page after the table of contents, students should attest and sign, certifying the original authorship of the thesis, a declaration. The style and reference for this can be found on page 60.

Turnitin

It is compulsory that theses and exegeses, except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination in order for students to check that all work from other sources are referenced correctly.

Students are required to submit their research through Turnitin and then discuss the similarity report that is produced with their supervisor. Supervisors are required to check the similarity report and indicate that this has occurred on the Lodgement for Examination form.

Workshops will be provided for supervisors through the Supervisor Workshops offered though the GRS's Researcher and Education Development unit; supervisors can email supervisor.workshops@aut.ac.nz to register.

Note: Turnitin is available for research submissions through the PGMe Course on Canvas. It is important that students use this version rather than any other version of Turnitin available through other course spaces available to students from previous enrolments. The PGMe instance of Turnitin allows research students' to submit their work without information being stored within the Turnitin database. If Turnitin is used from other areas in Canvas a copy will be saved on Turnitin's database.

Dispatch

Once the electronic copy of the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. The examiners are also sent a copy of the University's briefing pack for examiners and informed of the date their reports are due.

The GRS will notify students and their supervisors once the thesis is sent.

Note: Theses will not proceed for examination if there are any outstanding fees.

EXAMINERS' REPORTS

Each examiner is asked to examine or consider the student's research component, and present an independent report to the Graduate Research School under the following areas (as indicated in the table overleaf):

- Formulate the research question or define the research issue;
- Critically review knowledge relevant to the research component;
- Plan a research project that executes the selected methodology and methods tools that address the question or issue;
- Provide a critical commentary on the research process and outcomes;
- Reflect on and evaluate the significance of the research in the discipline area;
- Present research component at a scholarly level.

Examiners should view the overall performance of the students in relation to peers on comparable programmes. The criteria in the following grid are provided to examiners to guide the research component grading process:

STUDENTS, THE FOLLOWING SHOULD BE CONSIDERED IN RELATION TO CRITERIA 1-6 BELOW: 1. FORMULATE THE RESEARCH QUESTION OR DEFINE THE RESEARCH ISSUE.		
Grade Range **A (A+, A, A-)**	**Grade Range** **B (B+, B, B-)**	**Grade Range** **C (C+, C, C-)**
In-depth analysis of the question/ issues is informed by the rationale underlying the study and is based on appropriate evidence and creative processes.	Analysis of the question/ issues based on evidence and rationale for the research is evident.	Adequate development of analysis in answering the stated hypothesis/ question/issues.
Competence in clearly articulating a research question or issues.	Appropriate presentation and some elaboration of the research question/issues, the research process and analysis.	Major points relevant to the research question/issues presented with evidence of the integration of ideas.
Clear presentation and elaboration of the research question/issues, the research process and analysis.		

2. CRITICALLY REVIEW KNOWLEDGE RELEVANT TO THE THESIS/DISSERTATION.		
Grade Range A (A+, A, A-)	**Grade Range B (B+, B, B-)**	**Grade Range C (C+, C, C-)**
Sound knowledge of the subject area.	Good overall in knowledge of the subject area.	Satisfactory overall knowledge of subject area.
Evidence of an in-depth comprehension of the literature relevant (for example text or artefact) and appropriate to the research context with key issues raised.	Evidence of reading across the research context, with comprehension of key issues.	Evidence of reading across the research context.
Comprehensive and consistently reported bibliography.	Bibliography reflects critique.	Basic ability to evaluate and critique referenced material.
A high level of synthesis and critique of the relevant literature, text or artefact.	Critique of literature, text or artefact and some evidence of synthesis.	Adequate comparisons made with cited literature, text or artefact.

3. PLAN A RESEARCH PROJECT THAT EXECUTES THE SELECTED METHODOLOGY AND METHODS/TOOLS THAT ADDRESS THE QUESTION OR ISSUE.		
Grade Range A (A+, A, A-)	**Grade Range B (B+, B, B-)**	**Grade Range C (C+, C, C-)**
Clearly articulated and sound rationale for the methodologies and methods adopted (through, for example, explicit validation processes and/or critique of other available approaches). Including ethical approval (as appropriate), and data analysis.	Some discussion of a range of methodologies and methods with justification of methodologies adopted. Including ethical approval (as appropriate), and data analysis.	Acknowledgement of weaknesses / strengths of the methodologies and methods adopted. Including ethical approval (as appropriate), and data analysis.
Confident and imaginative execution of research methods.	Appropriate execution of research methods.	Adequate defense and execution of research methods.

4. PROVIDE A CRITICAL COMMENTARY ON THE RESEARCH PROCESS AND OUTCOMES.		
Grade Range A (A+, A, A-)	**Grade Range B (B+, B, B-)**	**Grade Range C (C+, C, C-)**
Mastery of the research process.	Clear understanding of the research process.	Understanding of the research process evident.
Ability to draw sound conclusions or findings through the research conducted.	Critique and discussion evident of findings: conclusions, implications and significance.	General implications and significance of findings discussed appropriately.
A clear demonstration of originality or innovation in research outcomes.	A good demonstration of originality or innovation in research outcomes.	Some demonstration of originality or innovation in research outcomes.

5. REFLECT ON AND EVALUATE THE SIGNIFICANCE OF THE RESEARCH IN THE DISCIPLINE AREA.		
Grade Range A (A+, A, A-)	**Grade Range B (B+, B, B-)**	**Grade Range C (C+, C, C-)**
A clear and substantial articulation of the significance including limitations, implications and recommendations as appropriate.	Clear articulation of the significance including limitations, implications and recommendations as appropriate.	Some articulation of the significance including limitations, implications and recommendations as appropriate.
In-depth evaluation & reflection evident in relation to the significance of results, their limitations, implications and relation to the wider literature on the topic.	A good level of reflection and evaluation evident.	Some reflection and evaluation evident.

6. PRESENT RESEARCH THESIS/DISSERTATION AT A SCHOLARLY LEVEL.		
Grade Range A (A+, A, A-)	**Grade Range B (B+, B, B-)**	**Grade Range C (C+, C, C-)**
Demonstrates significant capacity to present at a scholarly level.	Presents at a scholarly level supported by appropriate application.	Referencing and presentation appropriate.
Thesis is highly organised and integrated. The intent of the researcher is explicit and expressed with clarity and insight.	Thesis is well organised and integrated.	Thesis is organised and integrated.
An in-depth articulation of the communication frameworks used.	A clear articulation of the communication frameworks used.	Presents the communication frameworks used.

For Format 3 (Practice-Oriented) students are also assessed on the following criteria in addition to criteria 1-6 above:

Grade Range A (A+, A, A-)	Grade Range B (B+, B, B-)	Grade Range C (C+, C, C-)
Demonstrates a comprehensive depth in the resolution practice presented.	Demonstrates a resolution in the practice presented with comprehension of the key issues.	Demonstrates resolution in practice presented.

Where the student exceeds the criteria in a particular grade range examiners may award the grade with a '+' qualifier.

Where the student meets the criteria in a particular grade range examiners may award the grade as specified.

Where the student does not meet the criteria completely in a particular grade range but not to the extent of awarding a lower grade examiners may award the grade with a '-' qualifier.

Examiners' Recommendations

Examiners are required to make a recommendation using the report template, which includes their written report, and return it to the Graduate Research School of AUT with their written report. There are a number of possible outcomes from the examination process and the Examination Panel are required to identify the one recommended as the most appropriate for the student. The possible outcomes are:

Outcome 1: That the student be awarded a pass grade for the research component;

This does allow the student to address any typographical errors and minor editorial matters.

Outcome 2: That the student be awarded a pass grade for the research component subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor /co-supervisor (admin lead) or nominee;

These include more than superficial editorial amendments.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the examiners' reports, that person will forward the Amendments form to the faculty postgraduate office (Graduate Research School for Master of Philosophy) confirming that all the corrections have been completed satisfactorily. For the Master of Philosophy, the Graduate Research School will then notify the University Postgraduate Research Board and recommend to Academic Board the award of the degree.

Outcome 3: That the student be awarded pass grade for the research component subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor /co-supervisor (admin lead) and/or examiner(s) as appropriate;

These include more than minor amendments and can include rewriting a chapter, reorganising material in the thesis, improving or clarifying an argument, omitting or deleting sections of the thesis.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the examiners' reports, that person will forward Amendments form to the faculty postgraduate office (Graduate Research School for Master of Philosophy) confirming that all the corrections have been completed satisfactorily. For the Master of Philosophy, the Graduate Research School will then notify the University Postgraduate Research Board and recommend to Academic Board the award of the degree.

Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;

This outcome means the student does not meet the criteria for examination:

- There is limited or no internal consistency;
- More data is required;
- There are methodological issues;
- Multiple chapter changes;

The above may necessitate an in-depth re-writing of the literature review.

Outcome 5: That the work is not of an acceptable standard and a fail grade be granted for the research component;

A fail grade will be awarded to the research and may not be re-submitted for further examination

Outcome

Processing of Examiners' Reports

All examiners' reports are treated as strictly confidential. The Graduate Research School will forward copies of the reports when all have been received, to the appropriate assessment board for consideration.

On receipt of the examiners' reports, the Associate Dean (Postgraduate) (or delegated authority) convenes a meeting of the assessment board. In the interests of maintaining confidentiality, these copies are collected and destroyed at the end of the meetings.

Principles underpinning the determination of master's and bachelor's with honours research component examinations:

- The assessment board is the overall assessment panel and may delegate to a subgroup to prepare for them;
- The assessment panel must include a person with specialist knowledge;
- A sub-group assessment panel could make recommendations to the assessment board through the Associate Dean (Postgraduate) or delegate to ensure consistency of process;

The assessment board considers recommendations with the examiners' reports to approve the final grade.

Where recommendations and reports are unanimous or represent a grade difference of two grade points (e.g. B-, B+) the faculty assessment board determines the outcome.

Where one of the recommendations is 'revise and resubmit' and the other recommendation is a 'passing' grade, then a third examiner will be appointed and the research component sent for further examination.

Where the recommendations differ more than two grade points, the assessment board may:

- Accept the recommendations of external examiner(s); or
- Ask the Associate Dean (Postgraduate), and/or Head of Postgraduate or nominee, to confer with the examiners for a resolution of grade; or
- Appoint a moderator to review the reports according to the process below; or
- Recommend the appointment of an additional external examiner, or internal examiner where authorised by the Associate Dean (Postgraduate); or
- Accept a majority recommendation (where the majority includes external examiner recommendations).

Appointment of a Moderator

For the assessment board to appoint a moderator they must ensure the moderator has:

- A doctoral qualification;
- Demonstrated experience as an examiner;
- Successfully supervised a doctoral thesis to completion;
- Not been involved with the research component being moderated.

Moderation of Examiners' Report Process

Where the Faculty Postgraduate Assessment Board appoints a moderator, the moderator will:

- Consult the thesis;
- Review the examiners reports in relation to the assessment criteria on pages 133-136;
  - Write a report which advises the Faculty Assessment Board. The report will provide the Faculty Assessment Board the information that will assist in a

final decision. The report will not be made available to the student with the examiners' reports.

Amendment Submission

Amendments form

Where alterations/amendments or corrections are required, it is the responsibility of the Associate Dean (Postgraduate) or delegated authority, the primary supervisor and/or the programme leader to prepare a report of the required changes.

The student will work with the primary supervisor on the required amendments (if any) and the supervisor will lodge an Amendments form with the faculty confirming that the required amendments have been completed satisfactorily.

Once the amendments have been made, it is the primary supervisor's responsibility to complete the Amendments form. The normal timeframe for the completion of amendments is six weeks but this may vary according to their size and nature.

The final grade for the work will not be released until all amendments have been completed and signed off. If the required amendments are not made within this timeframe then the student would normally receive a DNC (fail) grade for their research. An extension may be negotiated at the student's request.

Master of Philosophy

For the Master of Philosophy, the GRS will enter the final grade and level of Honours (if any) on ARION and the faculty will forward the Amendments form to the GRS once any amendments have been made. Upon receipt of the Amendments form, the GRS will advise the University Postgraduate Research Board and confirm the award of the degree on ARION.

Examination of Practice-Oriented Research

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

Nature of Practice-Oriented Examinations

The creative research examination may take one of two forms:

- Where the artefact is sent to the examiners, along with the exegesis. (In such instances the examination will be managed in a similar way to traditional theses).
- Where the examiners are required to attend a performance/exhibition in person.

Appointment of Examiners – Practice-Oriented

Appointment of Examiners form

Where the research component involves creative work (as for the MDes and MVA), the Creative Work (Exhibition/Performance) section of the Appointment of Examiners Form must be completed. Full details of the date, time and venue of the exhibition/performance should be completed by the supervisor/programme leader and submitted to the faculty postgraduate office.

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

Submission

Students must submit one digital copy of their exegesis to their respective Postgraduate Coordinator/Administrator at least six weeks prior to their examination. The GRS requires receipt of the exegesis at least four weeks prior to the exhibition. If examiners require a hard copy, the

examiners will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment.

The supporting exegesis will normally be sent by the GRS to the examiners four weeks prior to the exhibition.

Examiners will assess visual work in situ at the exhibition site (normally 2–3 hours).

The student may present contextual material at the examination and should be available to discuss details of the work, if required.

In the case of a visual submission presented at an exhibition, the travel arrangements will be organised by the School in conjunction with the faculty postgraduate office, respecting the confidentiality of examiners. The details of the exhibition (dates, times and location of exhibition) are to be provided on the relevant section of the Appointment of Examiners form by the faculty postgraduate office.

It is the responsibility of the faculty postgraduate office to communicate with examiners regarding their availability for attending the exhibition and travel arrangements (if required) prior to completing the Appointment of Examiners form.

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

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

Examination Process

Two examiners are appointed both of whom are qualified or have expertise in the relevant field. One examiner will be an external examiner who is not a staff member at AUT.

The Convenor's role is to ensure that correct protocols and procedures are followed, so that:

- The procedure is consistent and fair for the student;
- Discussion is conducted in a professional manner;
- Observers, or participants being mentored, do not engage in discussion or determination of outcomes or grades for any student;
- Appropriate confidentiality is maintained around the examination process, and that any communication around the examination is conducted through the Convenor directly (and only) with the Graduate Research School (GRS).

Release of Information

Until the assessment board has made its determination on the outcome of the examination, the examiners' recommendations must remain confidential. The content of examiners' reports remains confidential to the assessment board and/or the University Postgraduate Research Board. The entire examination process and determination of a final grade may take up to three months.

Release of Examiners' Reports

It is the policy of the University that the faculty postgraduate office will normally give students and supervisors copies of the examiners' reports when the examination process has been completed. Reports will not normally include the name of the examiner, or any other information that may identify where the examiner is from. The provisional recommendations made by examiners will not be provided in the reports. Where examiners agree that their

details may be disclosed to students, these will be provided.

Supervisors do not normally receive the full examiners reports unless they are part of the examination/assessment process.

For the purposes of professional development; where requested by an examiner, the Faculty will make anonymised copies of the other examiners reports available. Where an examiner requests the outcome of the student's examination, the faculty will release the outcome only and not the grade.

Revise and Resubmit Process

Outcome

Students must be able to complete the changes for the revised thesis within the timeframe, as recommended by the examiners. This will normally be for a period of up to 6 months. If this is not possible, the student will be recommended for Fail and the degree not awarded.

Process for Revision

The purpose of the revision period is to complete the revisions as defined by the examiners. During this period students will be required to re-enrol for the period agreed to for the revisions to be undertaken.

The Faculty Postgraduate Office and Associate Dean (Postgraduate) will manage the resubmission process. The supervisors are responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a details outlining where the examination criteria have not been met and detail the revisions required.

The following is required:

- An agreement which details a plan with specific milestones and timetable for resubmission;
- Meeting schedules to be signed off and the Faculty Postgraduate Committee;
- Any deviation to the agreed plan must be discussed with the Associate Dean (Postgraduate) and reported to the Faculty Postgraduate Committee.

The student will be required to re-enrol for the period agreed for the revisions to be undertaken.

The normal support the student will receive through the resubmission includes a schedule of meetings between the supervisor and/or Associate Dean (Postgraduate, and student:

- Supervision meetings normally be held on a fortnightly/monthly basis;
- Where the student is not meeting the milestones detailed in the plan the student's candidacy will be discontinued, and a DNC grade will be entered;
    - A student not meeting their milestones in the agreed plan will receive a final warning after the first set of milestones have not been met;
- A student is required to submit a progress report every two months, however these may increase in frequency as determined by the Associate Dean (Postgraduate). The progress report should detail any unsatisfactory progress, where applicable;
- The Associate Dean (Postgraduate) will provide monthly updated to the Faculty Postgraduate Committee.

Process for Resubmission

Following the completion of the revisions, the normal Masters/Bachelor with Honours submission process is to be followed, e.g. completion of a Lodgement for Examination

form (see Submission for Examination details on page 131).

Re-Examination

Once the revisions are successfully completed, the standard examination processes should be followed in the same manner as for the first examination. The Graduate Research School or Faculty Postgraduate Office (for practice related research projects) will ensure availability of examiners for the re-examination. The revised research will be sent to those examiners wishing to re-examine. Where an original dissenting examiner declines to re-examine another examiner will be appointed. This examiner may be the reserve examiner appointed for the original examination.

The student will be permitted to submit the thesis for re- examination only once. Examiners will be informed that there will be no option to recommend a further revise and resubmit.

Final Outcome

Where a student who has been required to revise and resubmit their research there can only be an outcome of pass or fail. No further option for a revise and resubmit outcome will be permitted.

Pass Outcome

A pass outcome may have a requirement for further amendments, but not substantial revisions that amount to another revise and resubmit outcome. The highest grade that will be awarded for a revised research component is a C- grade.

In exceptional circumstances, a higher grade may be determined at the discretion of the University Postgraduate Research Board. In the case, the Faculty Postgraduate Committee/Faculty Assessment Board will need to provide justification to the University Postgraduate Research Board for approval prior to the resubmission for examination. This will allow the Graduate Research School to instruct the examiners that higher grade allocations can be appointed to each learning outcome.

Honours

A revised and resubmitted thesis is not eligible for the award of honours, however may be considered in exceptional circumstances at the discretion of the University Postgraduate Research Board. The Faculty Postgraduate Committee/ Faculty Assessment Board will need to provide justification to the University Postgraduate Research Board for approval.

Fail Outcome

A fail grade will be awarded to the research and may not be re-submitted for further examination.

Award of Honours and Distinction

Grade Point Average

Honours is determined by the Grade Point Average (GPA) of a programme, and the GPA is calculated on all courses undertaken. For example, it is still possible to obtain a first class honours if the grade obtained for one course is lower than the grade range of A+ to A-, provided other courses undertaken for the programme are achieved at a high GPA. If students are unclear if they can achieve an honours level it is recommended that they calculate their GPA.

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

Refer to the Postgraduate Research page on the AUT website.

Honours

In cases of outstanding achievement, a

student who completes the following requirements may be eligible for the awarded of honours:

- A master's degree with an independent research project of at least 40 points, OR
- A bachelor with honours with an independent research project of at least 30 points, AND
- The programme be completed within the normal time limits, AND
- The student was not required to 'revise and resubmit' their research component as part of the examination process.

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 Research Board. The maximum timeframe differs by programme – refer to the AUT calendar for the maximum timeframe for your programme. Such consideration is made only where there are exceptional circumstances.

Only those grades achieved at AUT will be used in deciding the class of honours. Courses 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 courses/research component will be taken into account as appropriate.

The GRS, under delegated authority from the University Postgraduate Research Board, confirms the class of honours to be granted, upon the recommendation of the assessment 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 research component examination within the grade point average range of A+, A, A-.

Students who achieve first class honours bring intellectual rigour, excellence and insight to their work and reliably and consistently demonstrate an excellent level of synthesis and critique in relation to a depth of specialist knowledge and its impact in the broad context of their discipline.

Students demonstrate consistency, confidence, flexibility and sophistication in their ability to:

Evaluate and scrutinise their ideas and thinking;

Provide evidence of analysis, and demonstrate modes of communication appropriate to the field;

Examine and evaluate issues using perspectives and frameworks from other fields.

Honours (Second Class, First Division)

This will normally be awarded to students who complete all course work and the research component examination within the grade point average of B+.

Students who achieve second class honours, first division, demonstrate an insightful approach to the key issues and debates in their discipline. The work demonstrates a high level of understanding, synthesis, and critique of the issues and thinking.

Students display high standards in their ability to provide evidence of analysis, and modes of communication appropriate to their discipline and in their evaluation and self-scrutiny of their own ideas and thinking.

Honours (Second Class, Second Division)

This will normally be awarded to students who complete all course work and the research component examination within the grade point average range of B- to B.

Students who achieve second class, second division honours demonstrate an insightful approach to the key issues and debates in their discipline. The work demonstrates good understanding, synthesis, and critique of the main issues and thinking.

Where honours are achieved, these will be printed on the parchment as, (First Class), (Second Class: First Division), (Second Class: Second Division). The grade range for each class detailed on the transcript

Distinction and Merit

A student who completes the requirements of a degree without a research component of at least 40 points in a master's degree or 30 points within a bachelor with honours degree, 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 Research Board. The maximum timeframe differs by programme – refer to the AUT calendar for the maximum timeframe for your programme. In establishing the award of distinction or merit all grades for courses will be taken into account.

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

Distinction

The degree will be awarded with distinction where overall achievement falls within the grade point average range of A+, A, A-.

Merit

The degree will be awarded with merit where overall achievement falls within the grade point average of B+.

Deposit of Research Component

All academic requirements must be met in order to graduate and students must deposit a digital copy of Doctoral and Master's research components in AUT's Tuwhera Open Access repository at: openrepository.aut.ac.nz

Requirements for Master's Research Projects or Practice Projects and Bachelor's Degrees with Honours are detailed below.

Year of Lodgement Date

The lodgement date is the date the final electronic thesis is lodged to Tuwhera in order to graduate. Use the year of Lodgement to Tuwhera in the cover page of the thesis, detailed on page 60, not the year submitted for examination.

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

Embargoed Research Component

Application for Embargo form

If an embargo has been approved, a digital copy of the research component must still be deposited on the Tuwhera website with the signed Application for Embargo form. Students must provide embargo information during the digital deposit process. A brief record of your thesis will be displayed on the Tuwhera website and the Library catalogue. The Research Repository administrator will ensure that the embargo material is not released to the open access repository until the restriction has expired. See page 91 for

more information on the Embargo process and embargoing research components while completing manuscripts for publication.

The following research is required to be submitted in this way in order to be eligible to graduate:

Doctoral Research

Doctoral students must normally deposit a digital copy of their research component, and complete an online declaration in AUT's Tuwhera Open Access repository.

Doctoral Synopses

It is a requirement for all doctoral students to submit a synopsis of their thesis for inclusion in the graduation handbook. The Graduate Research School will send an email to the student once the thesis has been submitted for examination. This email will contain a link to a form to be completed in order to graduate.

Students who have an embargo should be mindful of the content detailed in the synopsis so that any confidential information is not divulged.

Synopses should be no more than 200 words and in a format suitable for a general audience. It is recommended that the student liaise with their supervisor prior to submitting the synopses. Guidance on completing a synopsis can be found at: thesislink.aut.ac.nz

Master's and Bachelor's Degree with Honours Research

Research Components

Master's and Bachelor's with Honours Research that followed the research proposal process options 1 & 2 on page 46 (i.e. completed a Postgraduate Research Proposal, and was not processed as an assignment within a taught paper) awarded with a level of honours that is equivalent to B- grade or higher, for the research component will normally be required to submit a digital copy of their thesis to Tuwhera. This is a requirement to graduate.

Master's and Bachelor's with Honours Research that were processed as an assignment within a taught course (research proposal process option 3 on page 46) will not be required to submit a digital copy of their research component to Tuwhera. openrepository.aut.ac.nz

Research with Practice-Oriented Components

The digital exegesis should include documentation of both developmental work and the final thesis presentation (for example, indexed documentation of images, sound, etc.).

Hard Bound and Additional Copies

Hard Bound and additional copies may be requested by the faculty; at the faculty's expense. These may be hard bound, spiral bound or digital as negotiated with the School and supervisors. The binding specifications for hard bound work are as follows:

Research components are full bound in cloth or buckram.

The student is responsible for the cost of binding. The University provider for printing is PinkLime, aut@fxprinthub.co.nz or phone 921 9999, ext. 8530.

Year of Lodgement Date

The lodgement date is the date the final electronic thesis is uploaded to Tuwhera in order to graduate. Year of Lodgement stated

in the title page of the thesis, detailed on page 60, may need to be changed to the year of lodgement, not the year submitted for examination.

Front Cover

The front cover of the research component must contain the following elements:

- Student's full name;
- Full title of the research component;
- Abbreviated degree (please see "Appendix A: Qualification Listing" on page 162 for a list.);
- Year of lodgement (this is the year the final thesis is uploaded to Tuwhera in order to graduate and may differ from the year lodged for examination).

Part-numbering should be added if the research components 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

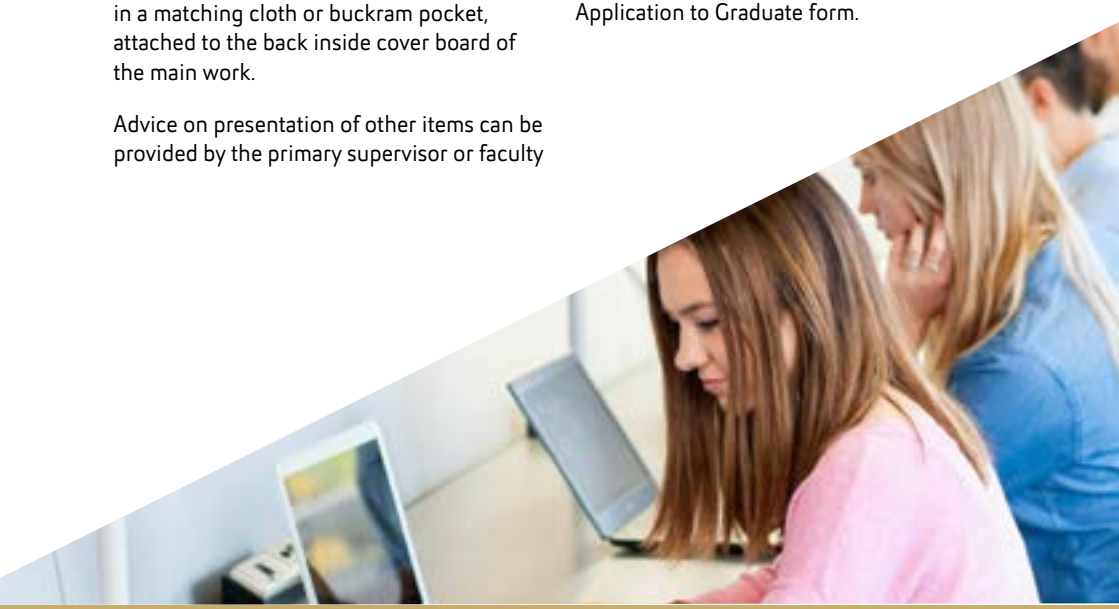
The spine of the research component must contain the following elements and be printed in lettering of a suitable size:

- Student's surname and initial(s);
- Abbreviated degree;
- Year of lodgement (this is the year the final thesis is lodged to Tuwhera in order to graduate and may differ from the year lodged for examination).
- There should be at least 5cm without lettering at the bottom of the spine to allow for the library call number label to be applied.

Council Approval

The Graduation Office recommends the conferring of postgraduate qualifications to Council for those students who have fulfilled all requirements.

Graduands are sent a graduation package, which details procedures for the University graduation ceremony and includes an Application to Graduate form.



GRADUATION

An invitation is also extended for graduands to process in the Graduation Procession. The trencher/bonnet is not worn during the procession. However, once the qualification has been conferred in the Graduation Ceremony, graduates will be invited by the Dean to don their trencher/bonnet.

For more information, refer to:
aut.ac.nz/graduation

Application to Receive Qualifications

Graduands of the University wishing to have their qualification conferred either 'in person' or 'in absentia' are required to complete and return the Application to Graduate Form by the specified date. The graduand's legal name appears on parchments in accordance with the University's official records.

Qualifications

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

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

Doctoral Graduands' Academic Dress Hire

The Graduate Research School will make arrangements with Academic Dress Hire who will liaise directly with students in order to arrange hire, pick-up, fitting and return of academic dress. The hire of academic dress will remain free for doctoral students.

Questions about this can be directed to:
pgresearch@aut.ac.nz

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FACULTY OF BUSINESS, ECONOMICS AND LAW	
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Doctor of Philosophy Master of Philosophy Master of Business Bachelor of Business (Honours) Postgraduate Diploma in Business Postgraduate Certificate in Business	Director Postgraduate Research Programmes Dr Smita Singh, ext. 9616 Email: smita.singh@aut.ac.nz
Master of Business Administration Master of Applied Finance Master of Marketing Master of Business Management Master of Professional Accounting Master of Supply Chain Management	Director MBA and Professional Masters Marcus Klose, ext. TBA Email: TBA
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Master of Laws Postgraduate Certificate in Law	Law Postgraduate Programmes Director Dr Lida Ayoubi, ext. 8123 Email: lida.ayoubi@aut.ac.nz Programme Manager Helen Parker, ext. 5510 Email: helen.parker@aut.ac.nz
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Master of Teaching and Learning – Early Childhood Postgraduate Diploma in Teaching and Learning –Early Childhood	Dr Sarah Probine, ext 31832 Email: sarah.probine@aut.ac.nz
Master of Education Postgraduate Diploma in Education Postgraduate Certificate in Education	Dr Megan Lourie, ext. 8517 Email: megan.lourie@aut.ac.nz
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School of Hospitality and Tourism	
Programme	**Programme Leader**
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Master of Gastronomy Postgraduate Diploma in Gastronomy Postgraduate Certificate in Gastronomy	Dr Robert Richardson, ext. 8878 Email: robert.richardson@aut.ac.nz

School of Social Sciences and Humanities	
Programme	**Programme Leader**
Master of Arts Bachelor of Arts (Honours) Postgraduate Diploma in Arts Postgraduate Certificate in Arts	Psychology Dr Jay Wood, ext. 8506 Email: jay.wood@aut.ac.nz

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Master of Design Master of Visual Arts	Programme Director – Master of Design Dr Emily O'Hara, ext. 8347 Email: emily.ohara@aut.ac.nz Programme Director – Master of Visual Arts Associate Professor Monique Redmond, ext. 8754 Email: monique.redmond@aut.ac.nz Postgraduate Coordinator Josephine Prasad, ext. 9871 Email: pgartdes@aut.ac.nz
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UNIVERSITY LIBRARY	**www.library.aut.ac.nz**
WA Building, AUT City Campus MC Building, AUT South Campus AL Building, AUT North Campus	Email: aut_library@aut.ac.nz

STUDENT HUB	www.aut.ac.nz/studentcentre
Student Hub	Phone: 0800 288 864 (0800 AUT UNI)
WA Level 2, WA Building, City Campus	Monday – Friday 8.00am – 5.00pm (Thursday 10.00am–5.00 pm)
AS Level 2, AS Building, North Campus	Monday – Friday 8.00am – 4.30pm (Thursday 10.00am – 4.30pm)
MB Building, South Campus	Monday – Friday 8.00am – 4.30pm (Thursday – 8.00am –7.00pm)

ACCOMMODATION	www.aut.ac.nz/accommodation
Te Ahuru Mayoral Drive Student Accomodation (City Campus)	Phone: +64 9 888 6200 Email: mayoraldrive@unilodge.co.nz
Akoranga Student Village	Phone: +64 9 921 9947 Email: residential.services@aut.ac.nz

STUDENT MEDICAL CENTRE	www.aut.ac.nz/health
WB219, WB Building, City Campus	Phone: 921 9992
AE:107, AE Building, North Campus	Phone: 921 9998
MB109, MB Building, South Campus	Phone: 921 9992

STUDENT LEARNING (PUNA ARANUI)	www.aut.ac.nz/student-learning Email: slc@aut.ac.nz
Learning Lab City Campus	Phone: 921 9083
AS206, AS Building, North Campus	Phone: 921 9083
MA106, South Campus	Phone: 921 9073

LGBTTQIA+ STUDENT SUPPORT	www.aut.ac.nz/student-life/support-services/rainbow-support
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MĀORI LIAISON SERVICES – TE TARI TAKAWAENGA	**www.aut.ac.nz/student_services/maori**
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AS211, AS Building, North Campus	Phone: 921 9082
MA106, South Campus	Phone: 921 9072

SPORT DEVELOPMENT AND ATHLETE SUPPORT	**www.aut.ac.nz/community/sport-at-aut** **Email: sport@aut.ac.nz**
WB102, WB Building, City Campus	Phone: 921 9736

EMPLOYABILITY AND CAREERS	**www.aut.ac.nz/employability** **Email: employability@aut.ac.nz**
Lab WA202, WA Building, City Campus	Phone: 921 9089
AS212, AS Building, North Campus	Phone: 921 9076
South Campus	Phone: 921 9089

APPENDIX A: QUALIFICATION LISTING

Formal Abbreviations for Postgraduate Programmes

CODE	QUALIFICATION TITLE	ABBREVIATION
AK3999	Doctor of Literature	DLitt
AK3998	Doctor of Science	DSc
AK3685	Doctor of Education	EdD
AK3664	Doctor of Health Science	DHSc
AK3518	Doctor of Philosophy	PhD
AK1321	Master of Analytics	MAnalytics
AK1055	Master of Applied Finance	MAF
AK1338	Master of Architecture (Professional)	MArch(Prof)
AK3689	Master of Arts	MA
AK1060	Master of Business	MBus
AK3717	Master of Business Administration	MBA
AK1090	Master of Business Management	MBM
AK1323	Master of Communication Studies	MCS
AK1329	Master of Computer and Information Sciences	MCIS
AK1290	Master of Construction Management	MCM
AK1320	Master of Creative Technologies	MCT
AK1303	Master of Creative Writing	MCW
AK1067	Master of Criminology and Criminal Justice	MCrimCJ
AK1324	Master of Cyber Security & Digital Forensics	MCSDF
AK1328	Master of Design	MDes
AK3930	Master of Disaster Risk Management and Development	MDRMD
AK1053	Master of Education	MEd
AK1325	Master of Engineering	ME
AK1317	Master of Engineering Project Management	MEPM
AK1048	Master of English & New Media Studies	MENMS
AK2015	Master of Gastronomy	MGast

CODE	QUALIFICATION TITLE	ABBREVIATION
AK3733	Master of Health Practice	MHPrac
AK3485	Master of Health Science	MHSc
AK1023	Master of Human Rights	MHumRights
AK1339	Master of Information Technology Project Management	MITPM
AK1058	Master of International Hospitality Management	MIHM
AK1057	Master of International Tourism Management	MITM
AK1049	Master of Language & Culture	MLC
AK1044	Master of Laws	LLM
AK1045	Master of Marketing	MMktg
AK1028	Master of Medical Laboratory Science	MMLS
AK3830	Master of Nursing Science	MNSc
AK3720	Master of Philosophy	MPhil
AK3611	Master of Professional Accounting	MPA
AK1287	Master of Professional Language Studies	MPLS
AK3920	Master of Psychotherapy	MPsychotherapy
AK3840	Master of Physiotherapy Practice	MPhyPrac
AK3805	Master of Public Health	MPH
AK1037	Master of Science (Research)	MSc(Res)
AK2037	Master of Science	MSc
AK3914	Master of Sport, Exercise & Health	MSpExHe
AK1085	Master of Supply Chain Management	MSCM
AK1047	Master of Teaching and Learning	MTchgLn
AK1327	Master of Visual Arts	MVA
AK3696	Bachelor of Arts (Honours)	BA(Hons)
AK3712	Bachelor of Business (Honours)	BBus(Hons)
AK3662	Bachelor of Health Science (Honours)	BHSc(Hons)
AK1040	Bachelor of Science (Honours)	BSc(Hons)
AK3913	Bachelor of Sport and Recreation (Honours)	BSR(Hons)
AK1056	Postgraduate Diploma in Applied Finance	PgDipAF
AK3740	Postgraduate Diploma in Arts	PgDipArts
AK3741	Postgraduate Diploma in Business	PgDipBus
AK1019	Postgraduate Diploma in Business Administration	PgDipBA

CODE	QUALIFICATION TITLE	ABBREVIATION
AK1091	Postgraduate Diploma in Business Management	PgDipBM
AK3825	Postgraduate Diploma in Clinical Child and Adolescent Psychotherapy	PgDipClicChld & AdolPsycho
AK1299	Postgraduate Diploma in Communication Studies	PgDipCS
AK3745	Postgraduate Diploma in Computer and Information Sciences	PgDipCIS
AK1232	Postgraduate Diploma in Counselling Psychology	PgDipCounsPsych
AK1074	Postgraduate Diploma in Criminology & Criminal Justice	PgDipCrimCJ
AK3743	Postgraduate Diploma in Education	PgDipEd
AK1015	Postgraduate Diploma in Disaster Risk Management & Development	PgDipDRMD
AK3566	Postgraduate Diploma in Engineering	PgDipEng
AK1075	Postgraduate Diploma in English & New Media Studies	PgDipENMS
AK3821	Postgraduate Diploma in Geographic Information Science	PgDipGIS
AK1066	Postgraduate Diploma in Global Business	PgDipGBus
AK3487	Postgraduate Diploma in Health Science	PgDipHSc
AK1069	Postgraduate Diploma in Human Rights	PgDipHumRights
AK3747	Postgraduate Diploma in International Hospitality Management	PgDipIHM
AK1283	Postgraduate Diploma in International Tourism Management	PgDipITM
AK1063	Postgraduate Diploma in Language & Culture	PgDipLC
AK1046	Postgraduate Diploma in Marketing	PgDipMktg
AK1027	Postgraduate Diploma in Medical Laboratory Science	PgDipMLS
AK3711	Postgraduate Diploma in Professional Accounting	PgDipPA
AK3806	Postgraduate Diploma in Public Health	PgDipPH
AK3558	Postgraduate Diploma in Registered Nurse Prescribing	PgDipRNPres
AK1086	Postgraduate Diploma in Supply Chain Management	PgDipSCM)
AK3940	Postgraduate Diploma in Rehabilitation Psychology	PgDipRehabPsych
AK1038	Postgraduate Diploma in Science	PgDipSc
AK3911	Postgraduate Diploma in Sport & Exercise	PgDipSpEx

CODE	QUALIFICATION TITLE	ABBREVIATION
AK3557	Postgraduate Certificate in Advanced Nursing Practice	PgCertAdvNurs-Prac
AK1004	Postgraduate Certificate in Arts	PgCertArts
AK3742	Postgraduate Certificate in Business	PgCertBus
AK1020	Postgraduate Certificate in Business Administration	PgCertBA
AK1070	Postgraduate Certificate in Business Studies	PgCertBusSt
AK1322	Postgraduate Certificate in Communication Studies	PgCertCS
AK3746	Postgraduate Certificate in Computer and Information Sciences	PgCertCIS
AK1440	Postgraduate Certificate in Creative Technologies	PgCertCT
AK1331	Postgraduate Certificate in Design	PgCertDes
AK3744	Postgraduate Certificate in Education	PgCertEd
AK1025	Postgraduate Certificate in Disaster Risk Management & Development	PgCertDRMD
AK1296	Postgraduate Certificate in Engineering	PgCertEng
AK1076	Postgraduate Certificate in English & New Media Studies	PgCertENMS
AK2017	Postgraduate Certificate in Gastronomy	PgCertGast
AK3484	Postgraduate Certificate in Health Science	PgCertHSc
AK1068	Postgraduate Certificate in Human Rights	PgCertHumRights
AK3748	Postgraduate Certificate in International Hospitality Management	PgCertIHM
AK1072	Postgraduate Certificate in International Tourism Management	PgCertITM
AK1064	Postgraduate Certificate in Language & Culture	PgCertLC
AK1050	Postgraduate Certificate in Law	PgCertLaw
AK1026	Postgraduate Certificate in Medical Laboratory Science	PgCertMLS
AK3811	Postgraduate Certificate in Professional Accounting	PgCertPA
AK3807	Postgraduate Certificate in Public Health	PgCertPH
AK1039	Postgraduate Certificate in Science	PgCertSc
AK3912	Postgraduate Certificate in Sport, Exercise and Health	PgCertSpExH
AK1330	Postgraduate Certificate in Visual Arts	PgCertVA

APPENDIX B: POSTGRADUATE FORMS

Listing of Postgraduate Forms

Note: The forms are revised on a regular basis. It is strongly recommended that you download the current form each time you wish to use it rather than using one saved on your computer from an earlier occasion. All forms are available on the AUT website, https://autuni.sharepoint.com/sites/sdw/research/prores/Pages/Postgraduate-Forms.aspx

Postgraduate Forms

Postgraduate Research Proposal

A brief research proposal to be completed for enrolment into a postgraduate research component. Formerly referred to as a PGR1 form.

Admission to an AUT Doctoral Programme.

A brief research proposal to be completed for admission to a doctoral programme, formerly referred to as a PGR2 form.

Transfer Form

For use when transferring doctoral candidature to AUT from another institution, transfer to the PhD from an AUT Master's Programme, and transfer to an AUT Master's Programme from an AUT Doctoral Programme. Formerly referred to as a PGR3, PGR4 or PGR5 form.

Change Requests/Variation of Record form

Application for changes to candidature such as mode of study (does not apply to doctoral students), deferment/leave of absence of enrolment, withdrawal from programme, request for extension and expected completion (formerly referred to as a PGR6 form). This form is also used for the notification of the appointment of additional supervisors and changes of supervisors (formerly the PGR7 form)

Progress Report Form

A report on research progress of a postgraduate research student. Formerly referred to as the PGR8 form)

Confirmation of Candidature Form

Application for confirmation of doctoral candidature and the full research proposal. Formerly referred to as the PGR9 form).

Change in Topic Form

Notification of a significant change in thesis topic. Formerly the PGR10 form.

Appointment of Examiners Form

A faculty postgraduate committee recommendation of examiners. Formerly a PGR11 form.

Lodgement for Examination Form

A statement that the research component is ready for examination. Formerly the PGR12 form.

Amendments Form

An attestation that the amendments to the research component have been actioned as requested by the examiners, to the satisfaction of the nominee(s). Formerly the PGR14 form.

Application for Embargo Form

An application for restricted access of the research component. Formerly the PGR16 form.

APPENDIX C: COVER/TITLE PAGE SPECIFICATIONS

Research Component Cover Specifications

Note: 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

Jane Doe

PhD

2008

Research Component Spine Specifications

Note: There should be at least 5cm without lettering at the bottom of the spine

J Doe	PhD	2008

Research Component Title Page Specifications

A sample thesis title page for a degree requiring coursework:

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

Jane Doe

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

2008

School of Education

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

Making the Grade: The Impact of Early Collaboration Between Postgraduate Student and Supervisor

on the Student's Thesis Grade

Jane Doe

A thesis submitted to

Auckland University of Technology

in fulfilment of the requirements for the degree of

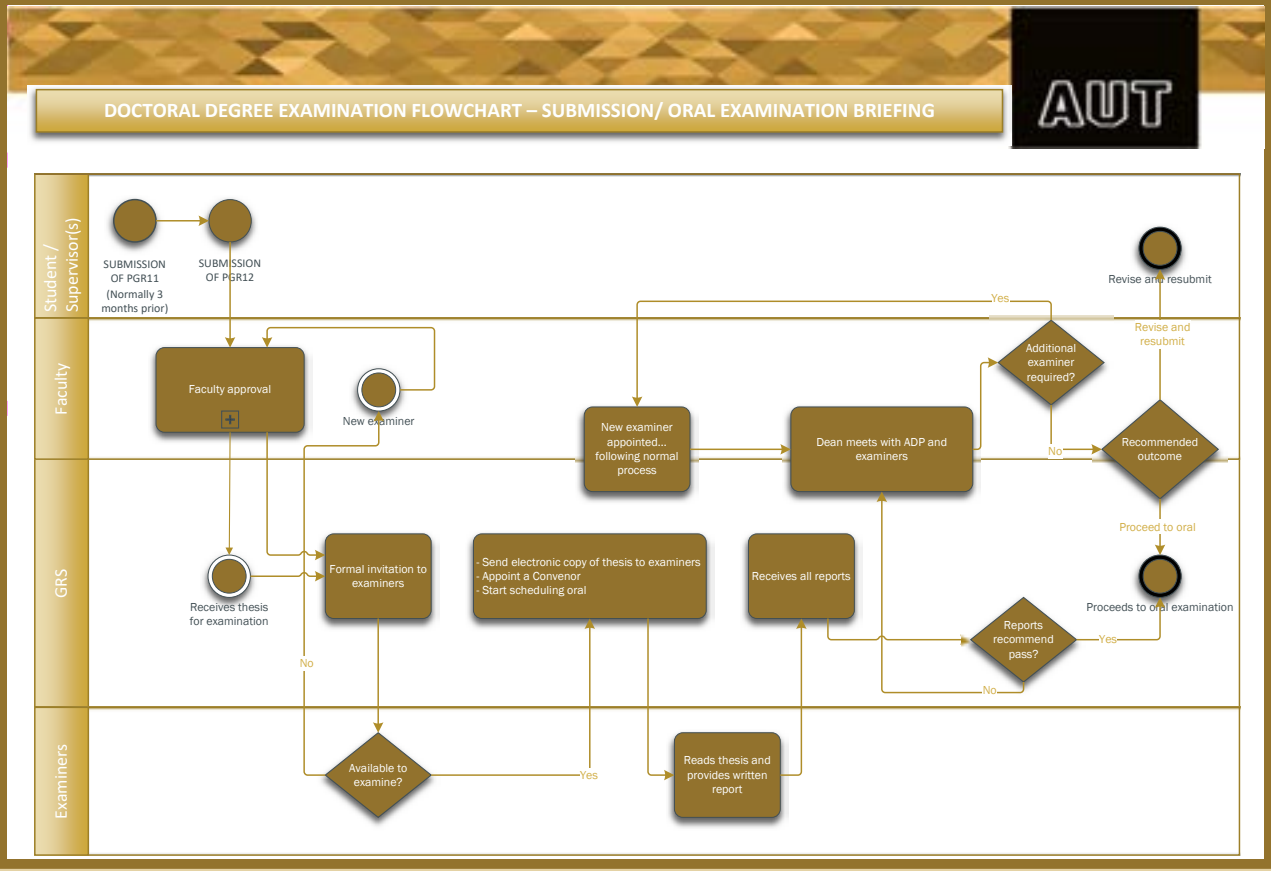
Doctor of Philosophy (PhD)

2008

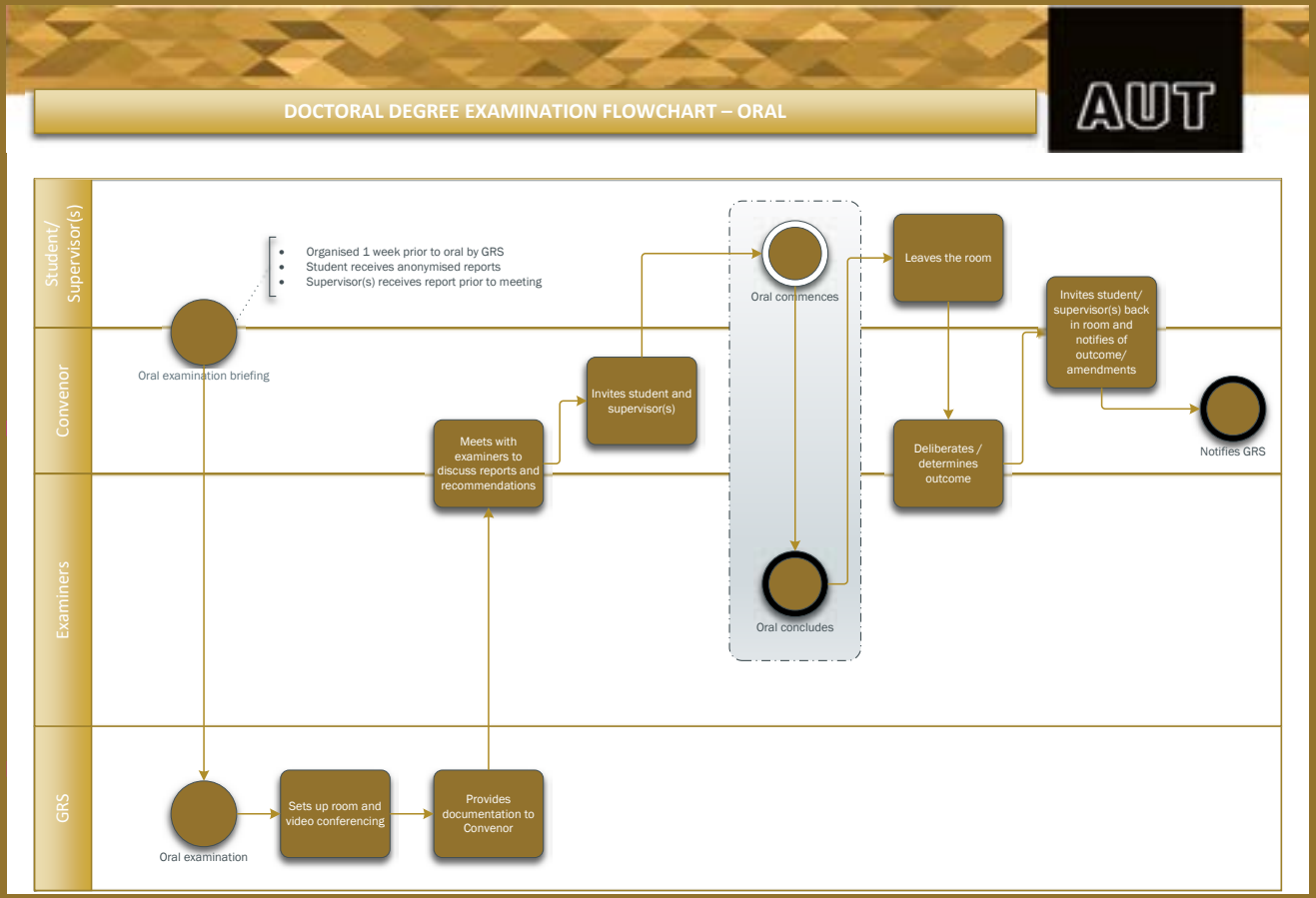
School of Education

APPENDIX D: EXAMINATION PROCESS FLOW CHART

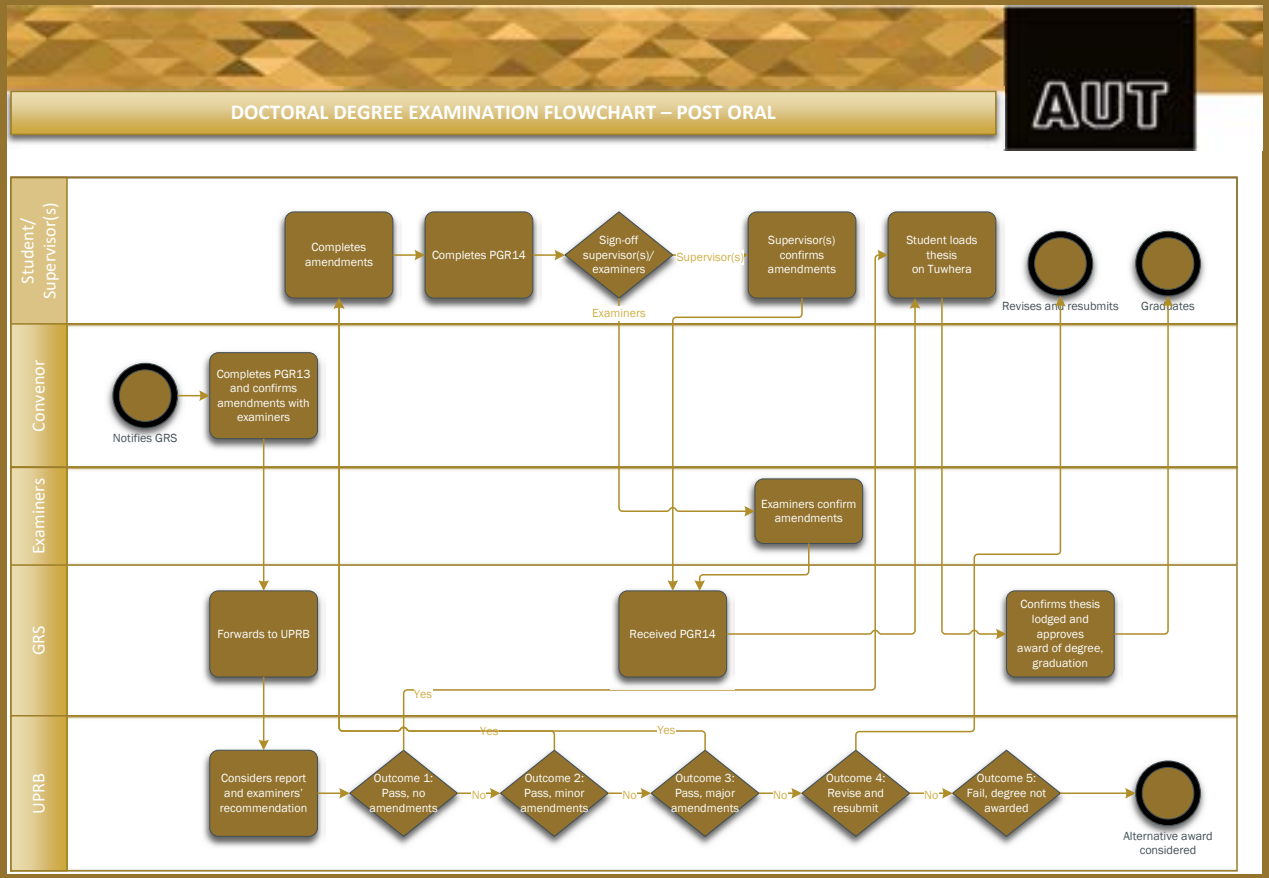
Submission and Oral Examination Briefing Process



Oral Examination Process



Post Oral Examination Process



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