

# House Rules for the Study of Doctor of Philosophy at Lincoln University





## Foreword

Welcome to postgraduate study at Lincoln University.

Study at the postgraduate level demands a large commitment, both from the student and from the University. The processes used can seem complicated and confusing. The aim of this book is to help our postgraduate students find their way through the complex requirements of a postgraduate course of study. Understanding what is going on can contribute to a rewarding and enriching period of study. This book has not been designed for reading from cover to cover. Rather, we expect it to be used as a reference during the course of study. We suggest, however, that students make themselves broadly familiar with the contents at the outset so that they are able to make use of it as they proceed through the degree. This book is primarily addressed to students and staff. We expect that staff will also use the book as a reference.

## Other Sources of Information

These house rules are designed to provide an overview of the most important rules, regulations and procedures for postgraduate study.

There are a number of other sources of information:

- **The *Lincoln University Calendar***  
This is the definitive source of information on the **regulations** of the University.
- **The *Study Planning Guide***  
These annual publications are essential reference guides to University processes.
- **The *Lincoln Management Manual***  
The principal source of Lincoln University policy is the Policies and Procedures (LPP) Manual.

As far as rules associated with postgraduate study are concerned, the *Calendar* takes precedence over all of the other publications. The *Study Planning Guide* also takes precedence over the house rules.

## **People to Contact**

Each PhD student at Lincoln University will be assigned to one of the faculties of the University. The Faculty will provide the Supervisor, will attend to many of students' needs and will be their 'home' in the University. The most important contacts during the doctoral studies at Lincoln University will be the supervisors, the Dean of Faculty, the faculty postgraduate co-ordinator and other staff in the department. Below is a list of some of the management staff of Lincoln University whose work will have an impact on the PhD student. Reference to their roles is described throughout the house rules. Students and staff may contact these people to discuss problems in their areas of responsibility.

The Academic Administration Committee has responsibility for oversight of many of the processes that affect postgraduates.

**Academic Programme Director (Postgraduate Studies)**

Professor Charles Brennan

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Professor Charles Brennan has responsibility for oversight of the University's postgraduate degrees.

**Convenor of Academic Administration Committee**

Dr Megan Clayton

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Academic Administration Committee Member

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The Academic Administration Committee has responsibility for oversight of many of the processes that affect postgraduates.

**Team Leader, Postgraduate**

Bernadette Mani

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Bernadette is responsible for giving effect to many of the procedures relating to postgraduates.



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## Section 1: Guide to PhD Study

### General

The Doctor of Philosophy is an advanced research degree. PhD students conduct a major research project and present the results in the form of a thesis. Doctor of Philosophy level study must represent research that is original within the discipline. This research is designed to **create** advanced knowledge. Once completed, the thesis is examined by international experts in the field of the research.

### Requirements for Admission

The usual requirement for entry to PhD study is an appropriate/relevant postgraduate honours degree with second class honours, (division one) or its equivalent or a masters degree with first or second class honours (division one) in the intended field of study. Acceptance will depend both on the previous subjects taken and the academic level obtained. In particular, admission will depend on whether previous study provides adequate preparation for the proposed study. Also refer to **Concurrent Bridging and Qualifying Programme later in this section.**

**Note:** If the last university attended was Lincoln, Lincoln University Student Administration staff will access the transcript when processing the application.

### Initial Enquiries and Method of Application

Our website links contains the admission criteria and online link to apply for admission <http://www.lincoln.ac.nz/Study/Postgraduate/Entry-requirements/#phd>. The admission criteria is also listed later in this section. Applicants for postgraduate studies will usually contact Student Administration, or an academic staff member to make initial enquiries about the possibility of being accepted for postgraduate study at Lincoln University. At this stage, wherever the initial enquiry has been directed, the correspondence will be sent to the Dean of Faculty where the applicant wishes to study. The Faculty will then send out the appropriate information, questions about procedures, fees or other process matters, will usually be directed to Student Administration.

Every candidate must apply to the University for Admission. The application will be assessed for completeness; staff will collate information on the standing of the applicant's previous university and submit a recommendation to the Dean of the appropriate Faculty. The Dean of Faculty's recommendation on the application will be referred to the Academic Administration Committee by the Postgraduate Student Administrator. If the application does not specify a Faculty, then the Postgraduate Student Administrator will forward the application to the appropriate Dean of Faculty. If the Postgraduate Student Administrator judges that the proposed field of study may come within the interests of more than one Faculty, then she will arrange for the Dean of Faculty to decide the most appropriate Faculty for the field of study.

If the application is incomplete when submitted, it will not be assessed. This is because the University will be unable to decide on the admission in the absence of certain information.

### Timing of Application for Admission

Most PhD students begin their studies at the beginning of the academic year in early March or in July. It is possible for PhD students to begin at any time during the year, provided there is no requirement for prerequisite course work and that availability of resources have been confirmed and

approved by the Department. The start date should be determined by the Faculty before enrolment commences.

Ample time should be allowed for acceptance procedures to be completed. For recommended deadlines, please refer to 'Academic Dates' in the Lincoln University Calendar. International students accepted for a PhD degree, must also obtain a student visa for the specific course in which they intend to enrol; the student visa will be issued by a New Zealand diplomatic mission once the applicant meets the academic and immigration requirements and this is when an offer of a place is issued by Lincoln. International students must maintain appropriate medical and travel insurance while studying in New Zealand, from the time you enrol until your visa expires.

### **Web Address for Applications**

<http://www.lincoln.ac.nz/Lincoln-Home/Apply/How-to-Apply/>

### **Concurrent Bridging and Qualifying Programme**

Where applicants have covered much, but not all, of the prerequisite subject matter in the area of proposed study, then the Academic Administration Committee (in considering the admission application) or the Dean of Faculty (in approving the course of study) may require one of the following;

- a concurrent bridging programme will normally contain one or two courses, normally at the 600 level taken concurrently with the PhD degree; or
- a full year of advanced course work (Postgraduate Diploma) that must be completed before reapplying for admission to the PhD course of study; or
- a one semester (Postgraduate Certificate) as a prerequisite to the PhD degree; or

The decision on which option is recommended will depend on the applicant's previous qualifications and on the particular field in which they wish to study. Therefore in some cases, it is possible that, in considering the admission application, the University will impose conditions on admission. For instance, it is possible that admission is subject to:

- the achievement of certain grades and reaching a certain standard in their present studies; or
- undertaking and reaching a certain standard in other prerequisite or concurrent bridging material; or
- agreement to work in a particular research area, rather than in the area originally proposed; or
- other conditions appropriate to applicant's circumstances. Conditions of this nature may be imposed on admission at the initiative of the Dean of Faculty and endorsed by the Academic Administration Committee. Alternatively, the conditions may be suggested and imposed by the Academic Administration Committee.

There are instances where the applicant will be permitted to reapply for the PhD after having met one of the above conditions. In this case, the University will assess the standard of the applicant's prior study in accordance with the set conditions to ensure that they have achieved the requirements (appropriate standard). We would expect that the masters level course work has been passed with good grades - typically at A- level or higher - certainly at the level of second class honours division one. In addition, we will need to ensure that in the previous study, the applicant has demonstrated the ability to plan, execute and write up a substantial research project.

If the applicant is not a university graduate but holds a tertiary qualification substantially similar to a degree and has obtained significant relevant research experience, then he or she may be admitted to PhD study in special, unusual, circumstances. Supporting evidence on academic achievement, publications, research experience and work experience, together with references, is essential.

If an application is submitted in anticipation of completing a degree, a transcript must be provided showing passes to the date of the application.

Admission to a PhD degree does not guarantee the acceptance of any particular research topic. Refer to Section 4.

Once admitted to PhD studies, continuation of admission is subject to satisfactory academic progress. If progress is found to be unsatisfactory then the admission, enrolment and registration may be cancelled or continued enrolment may be subject to conditions. Refer to Section 5.

### **Transfers from Masters (Upgrade)**

Students enrolled in a masters degree by thesis and examination and having completed the equivalent of the postgraduate diploma and enrolled in the thesis sometimes may apply to abandon the masters degree and transfer (upgrade) to PhD.

This may occur if the research opens up new possibilities that provide the opportunity to develop the project to PhD level. In particular, PhD research must be original in the discipline and must be designed to create advanced level knowledge, whereas a masters thesis can sometimes be concerned with applications of existing techniques or knowledge in new contexts.

The treatment of an application for transfer from masters to PhD will depend on the student's circumstances.

- a) If the student has the standard prerequisite for PhD before embarking on the masters degree, for instance, a holder of a bachelors degree with first or upper second class honours at the postgraduate level, then the application to transfer will be based on:
  - The appropriateness of the honours degree as preparation for the proposed PhD study and the grade awarded for the research (thesis or dissertation) and;
  - a written assessment of the standard of the applicant's performance while enrolled in the masters degree by his or her supervisor and the Faculty Chair of postgraduate research or equivalent. The thesis component, in the course of the masters studies, needs to have shown that the applicant has a high level of academic and ; performance, i.e. A- or better as expanded upon in the research criteria for evaluating masters thesis as well as the ability to plan, execute and write up a substantial research project and;
  - approved masters research proposal (applicants who do not submit evidence of this will be declined outright) and;
  - a reconfigured thesis proposal to show the difference between masters and PhD goals – including results from the masters thesis to date i.e., findings so far, and why it is desirable to add in the new dimensions and;
  - evidence that "a reasonable chunk" of the thesis work, has been completed, including, but not limited to conference papers or other publications, and copies of the six-monthly report forms. The application would also need to have the support of the Dean of Faculty.
  
- b) If the student has completed the prerequisite for masters studies but does not have the standard prerequisites for PhD, for instance not a holder of a bachelors degree with first or upper second class honours at the postgraduate level, then the application to transfer must be based on:
  - high grades in the masters course work and the completion of the equivalent of a Postgraduate Diploma, typically at the B+ level or better and, certainly at the standard of second class honours division one or higher and;
  - the student must have worked in an appropriate research environment where they are responsible for research. The application must include evidence of publications and this

must clearly demonstrate that the research being reported is at the level to succeed at the PhD level;

- evidence that "a reasonable chunk" of the thesis work, has been completed, including, but not limited to conference papers or other publications, and copies of the six-monthly report forms. In particular and with respect to the thesis component, in the course of the masters studies, it has been shown that the applicant has a high level of academic performance, i.e. A- or better as expanded upon in the research criteria for evaluating masters thesis as well as the ability to plan, execute and write up a substantial research project
- the application would also need to have the support of the Dean of Faculty.
- the application must include an approved PhD research proposal.

To properly consider such applications the Academic Administration Committee requires the Faculty/Research or Postgraduate chair to consider the application and report to the committee on whether it meets the following criteria for PhD study:

- appropriateness of earlier studies as preparation for proposed doctoral studies; and
- Supervisor and the Faculty Chair of postgraduate research or equivalent e.g. Head of Department to provide written assessment that the applicant has met the necessary prerequisite while enrolled in the masters degree. The application would also need to have the support of the Dean of Faculty.
- a thesis proposal to show the difference between masters and PhD goals – including results from the masters thesis to date i.e., findings so far, and why it is desirable to add in the new dimensions.
- Approved PhD research topic.

**Note:** the purpose of this requirement is to ensure that students transferring to PhD in these circumstances do not embark on doctoral studies without the security of having completed a university qualification. Furthermore, the University will not, in these circumstances, allow entry to the PhD unless the passes achieved to date, while enrolled for masters or earlier, together can be credited to another award (such as a postgraduate diploma); if this is not the case and the applicant does not have sufficient passes to constitute the complete postgraduate diploma or other award, then the transfer to PhD will be declined.

## Section 2: English Language Requirements

All students, (international, New Zealand citizens or New Zealand permanent residents) whose qualifying degree was obtained in a language other than English, will be required to also demonstrate competence in English. Lincoln University recognises achievements through a limited number of recognised tests of English Language. Use this table to view the minimum standards for entry to Lincoln programmes. Please note that the tests must not be more than two years old. If the result is more than two years old, then the applicant will be required to resit this.

PhD	IELTS (Academic)	TOEFL	CAMBRIDGE	PEARSON TEST OF ENGLISH	LU EAP	NZCEL
	<ul style="list-style-type: none"> <li>Academic 6.5 (no individual band less than 6)</li> </ul>	<ul style="list-style-type: none"> <li>90 iBT with writing no less than 20 or</li> <li>Essay Rating (TWE) 5</li> </ul>	(CAE) B	58 - 50 in each communicative skill	70%	Level 5 (Academic or Professional Endorsement)

### EXCEPTION

The only exception to this is for citizens and permanent residents of 'long standing', who may, in some circumstances, demonstrate competence in English through a simpler process. We define a 'citizen or permanent resident of long standing' as one who has resided in New Zealand or an English language medium country continuously for a period of three or more years and who:

- has completed successfully one year of academic study at a tertiary level in that period in a course or programme that has a high language requirement; or
- has references demonstrating that he or she has been working in the paid labour force in an English language medium country for a period of one year in an occupation that requires high usage of written and oral English at a level appropriate for successful postgraduate study.

Exceptions are made to these requirements only in very unusual circumstances. In this case, the applicant must:

- first meet with the Dean of Faculty who must certify:
  - that the Faculty has held a number of discussions with the applicant, especially on academic matters, and has, by this and other means, made an assessment of the applicant's ability to handle the English language requirements (and in particular the written English requirements) for conducting research in the discipline; and
  - that the Faculty is confident that it has the resources to and wishes to supervise the applicant's research;
- the applicant must then see a competent English for Speakers of Other Languages (ESOL) authority, approved by Lincoln University for the purpose, who will conduct an assessment of the applicant's written and oral fluency in English, including the applicant's need for additional English language training or support.

The ESOL authority then reports to the Dean of Faculty on his or her assessment. On the basis of this ESOL assessment and taking account of his or her own assessment, the Dean of Faculty may then submit a request to the Academic Administration Committee for the requirement for TOEFL or IELTS to be waived.

### **Section 3: The Privacy Act and the Official Information Act**

The contents of this section are the guidelines used by the University with regard to information held on postgraduate applicants and students. These guidelines apply equally to Student Administration and Faculty files, to paper files and electronic records and to files held by supervisors, Dean of Faculty's and other staff. The reason for collecting the information that is sought in the application form and through to registration is to enable the University to:

- determine entitlement to enrol;
- comply with statutory requirements;
- facilitate the efficient administration of the application for postgraduate study at Lincoln University.

Information contained in the application for admission to a postgraduate course will be held only for so long as that information is likely to be relevant to the student's relationship with the University.

If the application is successful and the applicant subsequently enrolls and registers at the University, the information supplied will be transferred to the University record and will be held permanently, in accordance with the requirements of the Education Amendment Act 1989.

An application that is unsuccessful will be held for three months in the case an applicant wishes to appeal the decision denying admission to a postgraduate course. After the three months, or at the end of an unsuccessful appeal process, original documents will be returned and remaining information destroyed.

If an applicant is successful but does not register at the University, the application will be held for a period of one year following the grant of admission.

At the end of the one year period, the original documents will be returned and the application will be destroyed.

If the applicant subsequently wishes to seek admission at a later date, the application process will need to be restarted and fresh material supplied.

Each postgraduate student has a file containing information documenting admission, the course of study (including changes) followed, the progress, and the outcome of the study at Lincoln. The information on the file is not generally available and is released only in terms of the Privacy Act declaration signed when enrolling. As the information on the file is essential to demonstrate the nature and level of the student's achievement at Lincoln, it will be retained indefinitely.

In terms of the Official Information Act 1982, applicants and students are, with a very limited number of restrictions or exceptions, entitled to have access to all information held on them. This includes information provided by them, or obtained from other sources. Also included is information used or produced at Lincoln in the process of making any decision affecting students.

A few restrictions apply with regard to the release of information relating to the examination of theses. For instance, the reports of external examiner(s), and internal examiners will not be released

until after the Academic Administration Committee has considered any recommendation for the award of a degree.

The one exception to be noted is that the confidential referee statements required by the University for considering a student's application for admission will not be released to applicants. These are privileged documents and are obtained on the understanding that the University will keep them confidential and not release the contents to the applicant.

## Section 4: Initial Development of the Course of Study

### General

Once admitted to a PhD programme by the Academic Administration Committee and before enrolment is completed the area in which the student intends to conduct research must be finalised. At this early stage, it is important that wide discussions are held with the Dean of Faculty and with academic staff who specialise in the general field of interest, in order to give full and careful consideration to the course of study. Because PhD study is intended to create knowledge through original research, the topic must offer scope for originality. Personal contact must be made with the academic staff, with guidance from the interim supervisor. In most cases the Supervisor has been appointed at the application stage.

### Length of Study

For full-time PhD student's, it is expected that the completion date is three years, and normally no more than four years. The **minimum** time for PhD is two years' full-time study. Most students take longer than this minimum time. The **maximum** time allowed for full-time PhD students is five years. Students who are part-time throughout their course of study must complete within six years of starting.

### International Students

International students should arrive on campus at least a week before the start date to enable discussions to take place with staff about the course of study. This is essential if bridging course work is required as part of the course of study. In this case, if students arrive after the beginning of formal lectures, they are likely to be at an immediate disadvantage.

### General Research Topic

Through this process of consultation with the Dean of Faculty and other staff, decision is made on the general research topic and supervisor.

A candidate shall pursue a course of advanced study and research over a period of at least four calendar year years from the date of enrolment. In exceptional cases approved by Academic Board, a shorter period of not less than three calendar years from the date of enrolment. Included in this period of enrolment must be a period of continuous full time study of at least six months at the University,

### Part-Time Study

Part-time study during the thesis preparation will be recorded as half-time study.

International students would not normally be entitled to study on a part-time basis because of Immigration NZ requirements. Where study is part-time for **all** of the programme, the maximum time available for completion is one year beyond the time allowed for full-time students.

This extended time does not apply if, at any time during the PhD course of study, a student enrolled on a full-time basis. Where there is a doubt as to whether a student studied on a full-time or part-time basis, then the matter will be resolved by reference to the record held on the University's student database, which is the official record of the course of study.

### **Paid Appointments During Study**

Where students are in substantial paid employment during PhD studies, they must agree with the Dean of Faculty and the Supervisor and where appropriate the funding sponsor on the details of any study arrangements. The Dean of Faculty, in approving the course of study in these circumstances, should attempt to ensure that the ability of the student to complete the course of study is not compromised by his or her obligations to their employer. It is also desirable that a written statement is completed by the employer, approving permission has been granted for enrolment in the PhD degree. This statement should give details of any time the student will be required to work to continue the employment. It should also certify that the student will be given the opportunity to complete their studies. If the student is off-campus they should also refer to the House Rules for External Masters and PhD. Students for additional guidelines. Records of these arrangements should be held by the Dean of Faculty.

Where students are enrolled in full-time study, paid employment must not exceed an average of ten hours per week. If this time is exceeded, then the academic studies are likely to suffer. It is advisable to enrol as a part-time student if the employment exceeds six hours per week.

### **Supervisors**

The Dean of Faculty will choose a Supervisor from the lecturing staff of the faculty that the student is enrolled in. The Supervisor will be appointed at the beginning of the course of study. This ensures proper guidance and advice is received in the stages leading up to the completion of the research proposal, as well as during the research itself (please refer to Section 9).

In some cases, the staff member appointed as Supervisor at the outset of the course of study will not be the final supervisor. This does not, however, reduce the importance of the role of the interim supervisor.

**All PhD students must** also have at least one Associate Supervisor from the lecturing staff of the University. Co-supervisors may also be appointed from within or from outside the University. Refer to Section 9.

In exceptional circumstances, the Dean of Faculty may apply to the Academic Administration Committee for consent to appoint as the sole or primary associate supervisor a member of the research staff of the University (please refer to Section 9).

### **Approval of Course of Study**

The Dean of Faculty may approve the course of study provided it conforms to the conditions below.

In approving the proposed course of study, the Dean of Faculty is required to ensure coherence of the course of study and the adequacy of previous studies as preparation for research in the proposed area.

If previous studies do not adequately prepare the student for the research project, the Dean of Faculty should identify the courses required for bridging. In approving the course of study, the Dean of Faculty must ensure that this complies with any conditions imposed at admission.

**Please note that where students are required to enrol in courses either concurrently or as a bridging-in programme, they will be expected to enrol and pay fees as a result.**

The structure and nature of the course of study must be in line with these house rules if it is to be approved by the Dean of Faculty. If a variation is sought from these rules, then Academic Administration Committee approval is necessary.

The Dean of Faculty also makes an assessment of the Faculty's capacity to resource the course of study.

The Dean of Faculty must also ensure that the supervisor and associate supervisor are appropriately qualified for their roles.

The Dean of Faculty is required to maintain a record of the full course of study including:

- the thesis topic;
- the names of the supervisor and associate supervisor;
- the date of formal commencement;
- any conditions imposed on admission.

The official record of the course of study in a given calendar year for a postgraduate student is held in the University's student database.

### **Extension of Time**

Where students are enrolled on a full-time basis for a PhD degree, they will be required to complete in a maximum of five years of full-time study and if enrolled for a PhD degree on a part-time basis throughout the enrolment, students will be required to complete in a maximum time of six years.

An extension of time beyond the maximum may be sought from the Academic Administration Committee. Students may apply for an extension of time to their PhD degree but this is granted only once, and then only in exceptional circumstances. An extension is unlikely to be granted simply because students are having difficulty meeting the deadline. In an application for an extension students point to specific, unusual factors that have caused delays. Students need to be aware that the absence of the Supervisor would not normally be regarded as grounds for an extension. If a member of the staff is to be absent from the University for a period (for instance, on refresher leave or on conference leave) the Dean of Faculty is obliged to make arrangements to ensure that the staff member's supervisory responsibilities are met in an appropriate way. The absence of the Supervisor could only be used as grounds for an extension in special unusual circumstances, where the absence is unforeseen, sudden and due to critical circumstances.

If the Supervisor is to be absent from campus for a period during a critical phase of the research, the student should be advised to approach the supervisor well in advance to discuss the arrangements made to cover his or her absence.

To apply for an extension, students should complete the appropriate extension of study form and must also attach the last 6 monthly report, a letter and supporting statements from the Supervisor and Dean of Faculty or his/her nominee. The form and the documents must be addressed and submitted to the Team Leader, Postgraduate. Only one specified extension of time is permitted and then only in exceptional circumstances. Extensions will not exceed 12 months.

### **Suspension of Study**

Where students find it necessary for any reason to interrupt their course of study (such as through ill-health, unavoidable absence from the campus, or critical circumstances) the Academic Administration Committee may approve a suspension of the thesis period for an appropriate period. The suspension period if approved must not normally exceed twelve months. To apply for a suspension, students should complete the appropriate suspension of study form. The form should

be accompanied by; evidence of the critical circumstances on which the application is based; an outline of work that has been completed in the programme; and the work required to be completed to finish the programme, i.e. submission of a credible thesis; the last 6 monthly report and written support from the supervisor and Dean of Faculty or his/her nominee. All of these should be addressed and submitted to the Team Leader, Postgraduate.

### **Enrolling using LUCAS**

LUCAS –Lincoln University Campus Administration System

Once admission is approved, students receive a conditional offer of admission, students can accept their offer and enrol using a username and password assigned by the university and details of this will be emailed to the email address already given at the application stage.

### **Checklist Items**

It is important that PhD students enrol and complete all the checklist items listed on LUCAS before finalising their enrolment. The checklist items include personal details such as phone, address and well as adding the class (course), obtaining course advice (supervisor must approve this online). International students must have a current student visa- <http://www.lincoln.ac.nz/Lincoln-Home/Future-Students/International/Visa-requirements/> and the appropriate compulsory insurance as outlined on our website <http://www.lincoln.ac.nz/Lincoln-Home/Future-Students/International/Compulsory-Insurance/Enrolment>.

<b>Medical &amp; Travel Insurance for International PhD Students</b>
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All international PhD students must have approved medical and travel insurance cover to the full length of their student visa.
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The Lincoln University Campus Administration System (LUCAS) enables students:

- To enrol in classes, as specified in the conditional offer of admission, i.e. click on the career being ‘research’ to enrol in the thesis. The class code is supplied in the conditional offer of admission;
- Complete the rest of the ‘to do list’, and click on the career being ‘research’ to enrol in the thesis. The class code is supplied in the conditional offer of admission. To assist, we have published the “Guide to Enrolment for Postgraduates” and this is available at the time the conditional offer of admission is provided or by contacting the Postgraduate Student Administrator.

Finally LUCAS is used by students to enrol (as outlined above). Once to ‘to do list’ is completed, to finalise enrolment students must click the “submit” button. Enrolment is for twelve months and continuing students must have the following year’s enrolment finalised before the end of its expiry date, this includes having a current student visa- <http://www.lincoln.ac.nz/Lincoln-Home/New-Students/International/Visa-requirements/> and appropriate insurance, otherwise access to services will be cancelled and late fees will be charged.

### **Changing the Course of Study**

Full information on changing the course of study after registration is set out in the Study Planning *Guide*. The information below is a summary of that information. Where there is a conflict between

the information below and information on changing a course of study in the *Study Planning Guide*, the later takes precedence.

It is essential that Student Administration is notified promptly of all changes of courses and other course of study variations. The procedure below is designed to ensure agreement between the student database and the Faculty's record of the course of study, the student database holds the official record of the course of study and transactions.

If students wish to change the Faculty in which they are studying, this constitutes a new admission. In this case, an application to the Academic Administration Committee for permission to change is required. See also 6 below.

### **Dates for Changes**

The *Study Planning Guide* sets out a series of dates and deadlines for course of study changes.

**Note:** A change in research **topic** will not usually necessitate a course of study change.

### **Changes in a course of study can affect:**

- full-time/part-time status
- tuition fees
- student allowances entitlements
- student loans entitlements
- immigration status

If unsure of the effects of a change, ask the Postgraduate Student Administrator.

### **International Students**

International students may change the courses (if enrolled in concurrent courses as part of a qualifying programme) for which they are enrolled and may also change the Faculty in which they are enrolled subject to approval from the Faculty and the Academic Administration Committee. They will not, however, be permitted to enrol on a part-time basis without approval from NZ immigration Services.

**Note:** a change in research **topic** does not usually necessitate a change in the course of study.

If changing the programme, (for instance from a masters degree to PhD) it is essential that a **variation to the student visa** from the New Zealand Immigration Service is obtained at the cost of the student.

Holders of NZ MFAT study award may not change their course without prior approval from the sponsoring agency and their home government. This approval is rarely granted. The deadlines set out in the Study Planning Guide also apply to international postgraduates.

### **Fees**

Fees are payable at or prior to accepting enrolment. The amount students pay, will depend on their enrolment if students change their programme of study, or the courses that they enrol in, fees may change. For more information all students are required to visit our website <http://www.lincoln.ac.nz/Lincoln-Home/Apply/Whats-it-going-to-cost>.

## Outstanding Fees- Returning Students

Where there are fees outstanding from previous years, students cannot register or graduate until the balance has been settled. All fees are reviewed every year and are subject to change. Tuition fees are confirmed by the University Council in July (international fees) and October (domestic fees and other administrative charges).

## External Study and Fees

There are occasions where PhD students apply to study off-shore or off-campus. There are rules surrounding the study and these rules are to be read in conjunction with this booklet *House Rules for Study of Ph.D. Degrees at Lincoln University* and the *House Rules for External Masters and Ph.D. Degrees at Lincoln University* <http://www.lincoln.ac.nz/Lincoln-Home/Study/Postgraduate/House-Rules/> as appropriate.

External study may have an impact on tuition fees. Please note that International Ph.D. students who are eligible for domestic fees will have conditions imposed if they have approved external status. To remain eligible for domestic fees only **temporary absence will be allowed** and only for the purpose of **approved doctoral research subject to** conditions that the;

- a) absence must be no more than 12 months, either accumulated or a block over the duration of the PhD programme;
- b) request must be submitted in writing to the Academic Administration Committee and contain written approval from the Faculty Research/Postgraduate Committee.

If international students, and this includes New Zealand Permanent Residents and Australian Citizens leave New Zealand to complete the thesis without a and b above **they will be charged international fees from the month of departure.**

## Changing Faculties

When admitted to begin PhD studies at Lincoln University, applications are considered by the head of the appropriate university faculty. For this reason, admission to PhD study **in a particular Faculty is given**. The Faculty is where the Supervisor works.

It follows therefore, that any changes to Faculties is a change in the admission decision. For this reason, an application for a change of Faculty is treated like a new admission application.

While a request to change Faculties involves a new admission, a complete application form is not necessary or new referees. A letter requesting a change and explaining the reasons for the change will suffice. This letter should be endorsed by the old and new Dean of Faculty. The Postgraduate Administration will augment the application with the relevant information from the file before making a decision on the change.

## Procedure for Withdrawing Courses and Leaving Lincoln

- Students must discuss the intention with someone: supervisor, Dean of Faculty or the Academic Programme Director (Postgraduate).
- Students must inform StudyLink and discuss the implications of this withdrawal if in receipt of a student loan or allowance.
- Collect the 'Complete Withdrawal' form, from Student Administration.
- Have the form completed at all levels including the Library who must sign and date the form.
- Return the completed 'Complete Withdrawal' form to Student Administration.

- If living in the halls of residence, contact the Accommodation Manager to advise him or her of this withdrawal and to return keys.
- See the Fees Administrator to discuss the financial aspects of the withdrawal.
- International students must also notify other interested parties and this is clearly outlined on the withdrawal form.

**There are NO telephone withdrawals and withdrawals cannot be made by parents or friends on behalf of students. Students can withdraw only by making a personal written request to do so. If there is some urgency involved, the University will accept faxed notices of withdrawal providing they are followed by a signed letter and the return of the Lincoln identity card. In all cases, the onus is on students to ensure that requests to withdraw are received by the University within appropriate deadlines.**

## Section 5: Reviewing

### PhD (concurrent)

Some students as part of their provisional entry to the PhD programme may be required to enrol concurrently in one or two 600-level subjects in either the first semester or year of study. The performance in the subject/s will be closely monitored and considered by the Faculty Postgraduate Committee following their completion. Such an evaluation will be consistent with the University's Satisfactory Progress provisions. Satisfactory progress will equate to a 'B+' grade or better and unsatisfactory will be a grade below 'B+'. Should the student's performance in this subject/s not achieve the satisfactory level, then their provisional PhD registration will be reviewed carefully.

#### *Unsatisfactory academic progress may also include any of the following:*

- failure to develop a satisfactory research proposal; or
- breaches of the University's ethical requirements; or
- poor performance in research, data collection or analysis; or
- slow progress in research; or
- failure to register; or
- failure to meet agreed target dates; or
- failure to complete changes within three months following notification of the outcome of the examination to the thesis. This could lead to the award of a lesser qualification or no qualification, as appropriate and a **fail** grade awarded.

Any of the items above will be grounds for a review of the student's admission.

This review may lead to conditions being imposed on continued enrolment or to cancellation of enrolment and if the later a **fail** grade will be awarded. The final decision will be made by the Academic Administration Committee.

A decision to cancel a PhD enrolment will be made by the Academic Administration Committee only following the involvement of the Dean of Faculty and the Director of Postgraduate Studies or his or her delegate. The Committee will satisfy itself that warnings were given about the consequences of the failure to improve and that there was an opportunity provided for improvements. Only when the goals established in a performance regime have not been met will an admission be cancelled and a fail grade awarded.

If the Academic Administration Committee decides on cancellation of the PhD admission, then the student may be invited to apply for admission to a postgraduate diploma or to a masters degree. In such cases the PhD enrolment will be awarded a fail grade.

### Six-Monthly Reports

At half-yearly intervals (or more frequently) the Dean of Faculty will distribute a progress report form on which the supervisors are required to report on their students' progress. Students are also required to comment on this form on their progress in the previous six months and to outline the work for the next period. This report system is designed to enable the student and the supervisor to review progress and set fresh objectives. It is designed to help the student in particular, but also the student's Supervisor and Dean of Faculty, in planning and guiding the research.

Students are also obliged to make comments on their progress as part of the report.

The Dean of Faculty is also required to read the report form for each student. All students have a right to inspect their faculty and student administration files on request (with the exceptions noted in Section 3 of this book). This includes a right to inspect progress reports.

It is essential that supervisors and Dean of Faculty's are frank and reasonably detailed in their comments. Short, bland statements are unhelpful to both student and supervisor.

The Dean of Faculty is required to provide a brief annual report to the Academic Administration Committee on the prescribed form on the overall progress of postgraduate students in the Faculty.

## Section 6: Health and Safety in Your Studies and Research

Lincoln University is committed to achieving excellence in the management of health and safety. Student involvement and support is essential. The prime responsibility for working safely in postgraduate activities is that of the student.

The University assists by providing health and safety rules, procedures and systems. These help to ensure that the student and others are not placed at risk.

Students will need to:

- identify, assess and control the hazards of the proposed work before starting;
- follow advice from the supervisor and Faculty Safety Officer.

Students should obtain a copy of the Lincoln University Health and Safety Handbook and read this thoroughly.

Those taking a thesis or dissertation, the Dean of Faculty will expect a declaration signed confirming that the student has read and understood the handbook. This declaration will be part of the Hazard Identification and Assessment Form that the students is expected to complete.

For further information, students must refer to the faculty postgraduate handbook and to the handbook Hazardous Chemicals and Safe Laboratory Practice - a Guide for Students.

These documents, and any other advice on department's health and safety issues, are available from the supervisor or Faculty Safety Officer, or in the Lincoln Policies and Procedures Manual.

## Section 7: Intellectual Property

The term Intellectual Property (IP) refers to the ownership of an idea. IP is recognised in law as form of property that IP can be sold, licensed, damaged or trespassed upon.

Students, when they are not employees of the University, own the IP they create or have a claim to ownership of IP they help create. A student's precise IP rights (IPR) will depend on the extent and value of their contribution to a research project and the extent and value of other IP inputs to the project.

At the same time the student and supervisor are required to adhere to any separate third party IP arrangement which may exist.

A specialised area of IP management is where the aim is to commercialise it. Shared ownership of IP can complicate and/or severely impede what is, under any circumstances, a time-consuming and expensive process.

For example, international patenting costs often exceed \$100,000. Clearly those investing such sums of money in IP commercialisation reasonably require certainty over access to it. It follows that where IP created during a research project has commercial potential it is important that our policies:

- avoid impediments to commercialisation created through shared ownership of IP;
- ensure that Lincoln can discharge its contractual obligations to a third party funder;
- provide incentives for participation in research by staff ;
- ensure that the processes applied are fair to all parties; and
- lead to appropriate financial or other rewards that reflect contributions made.

However, our policies must not:

- prejudice a student's ability to submit a thesis for examination; or
- prejudice a student's ability to publish in a managed way.

To accommodate the above requirements, when a Postgraduate or Honours student enrolls at Lincoln, the University requires the student to agree that Lincoln shall own the commercialisable IP he or she creates. The University makes no claim of ownership to a student's copyright in their thesis or dissertation or in any articles or other works written for publication, nor does it make a claim on non-commercialisable IP.

Should a student not wish to agree to Lincoln ownership of her/his commercialisable IP or does not wish to benefit financially from successful commercialisation, this will not stop the student from enrolling. It will, though mean that the student and her/his Supervisor will agree a project where the creation of commercialisable IP is unlikely.

Where a student initiates a research programme then, provided certain conditions are met, such as requiring limited supervision, the University will not seek ownership of the student's commercialisable IP. Also, should the University not pursue commercialisation after a reasonable time IP ownership shall be assigned back to the student who created it.

Where shared IP is successfully commercialised, the student will, along with other IP contributors, share in any financial or equity ownership returns. Students will be treated in exactly the same manner as academic staff in this regard.

An IP Standing Committee representing each of Lincoln University Students Association, academic staff and the University institution will manage distribution of revenue from IP commercialisation, with recourse to independent arbitration being available as necessary.

*"Intellectual Property Management – A Guide for Postgraduate Students and Supervisors" can be found on LU intranet under "Research"; then click on "Intellectual Property" for a comprehensive document on Intellectual Property management at Lincoln University. It contains copies of the "Policy on Intellectual Property" and "Policy on Distribution of Revenue from Commercialisation of Intellectual Property" and of the forms a Postgraduate student will be required to sign should she/he wish to participate in a research programme from which commercialisable intellectual property is predicted to emerge.*

Further information on Intellectual Property Policy and Procedures, Management of Intellectual Property Rights, A Guide for Postgraduate Students and Supervisors, What is copyright? can be located on the Library website <http://library.lincoln.ac.nz/Research/Getting-started/>

## Section 8: Ethics in Research

Like all research organisations, Lincoln University must ensure that all research conducted in its name is undertaken to the highest ethical standards. This applies to the research students undertake as part of their studies.

In some cases, the University is also bound by ethical standards imposed by the government or by agencies such as the Foundation for Research, Science and Technology. In some areas there are approvals that must be obtained and assurances that must be given before the research can be undertaken.

Prior approval must be obtained for research projects that involve human subjects and for projects involving animals. The University has established monitoring and approval bodies to assess proposals for research projects in these two areas. In each case, the approval panel contains some external representatives together with some staff representatives.

If the project involves human or animal subjects, students should consult the detailed information that can be found in the Lincoln Policy and Procedures Manual (LPP ACAE and CCHE).

These entries specify what information needs to be submitted about the project in order to obtain approval.

These requirements must be discussed fully with the Supervisor before preparing the application for approval. Additional information can be located on the library website:

<http://library.lincoln.ac.nz/Research/Research-Process/>

## Section 9: Thesis Research Topic and Supervision

### Development of a Thesis Research Topic

Once enrolled and registered for a degree incorporating a thesis, the student must proceed to develop a research proposal under the guidance of their Supervisor. Each Faculty will have slightly different procedures for research student administration. The information below however, describes a typical approach. Also refer to <http://library.lincoln.ac.nz/Research/Research-Process/>

### Postgraduate Supervision: Mutual Expectations Agreement (MEA)

The aims of this document <http://www.lincoln.ac.nz/Lincoln-Home/Student-Life/Study-Resources/Postgraduate-resources/Supervision-Mutual-Expectations/> are first, to encourage communication between the dissertation student and their Supervisor/s and second, to record their agreed mutual expectations. The agreement should be completed within three months of the assignment of the Supervisor. Students, especially those new to Lincoln, are advised to check the Appendix to this document and raise any matters they are uncertain about before the MEA is signed.

### Research Workshop

Students are expected to present details of their draft research proposal to the supervisors, interested academic staff, and other people able to comment on the study. This allows students to then take note of comments and suggestions in developing a final research proposal.

### Final Research Proposal

Following the workshop, the finalised research proposal should be prepared and forwarded to the Dean of Faculty for approval. The research proposal should provide a brief review of current knowledge of the proposed research topic together with the aims and objectives of the research. Details are required of proposed work and the techniques to be used, method of measurement and data analysis. The proposal should also identify any specialist resources or expertise required by the student and the supervisors which they believe are necessary but not available in the Faculty. A detailed proposed timetable of the research including the analysis of results and writing up of the thesis should be included. It is expected that the proposal would take 5-10 pages.

### Supervisors

In considering the research proposal, the Dean of Faculty or the Faculty Postgraduate Coordinator will also confirm the nomination of the student's Supervisor and Associate Supervisor(s), Co-supervisors External Co-supervisors and any Advisers, and make an estimate of costs of the whole programme and sources of funds.

The Supervisor is expected to play a major role in assisting the student to set the direction of their research. This includes assisting in the project formulation, participating in setting the research objectives, assistance in the project management and conducting regular reviews of the student's research. In addition, the Supervisor has certain administrative responsibilities. The staff member designed as the Associate Supervisor is expected to undertake these roles in the absence of the supervisor. The Supervisor and Associate Supervisor must be members of the lecturing staff of Lincoln University.

Please refer to levels of staff supervision<sup>1</sup> and associated criteria to aid in Dean of Faculty allocation of staff to supervision roles.

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<sup>1</sup> Note that advisers are provided for in the House Rules and should be selected on a context specific basis, e.g., where an external agency or other institution is involved.

Criteria	Level 1: PhD 'primary' supervision ready	Level 2: PhD associate supervision ready	Level 3: Master's thesis 'primary' supervision ready	Level 4: Dissertation 'primary' supervision ready	Level 5: Master's thesis associate supervision ready
Staff academic qualification and/or research record	PhD (normally) And/or well established and relevant research record And/or proven track record of supervision excellence	PhD (normally) And/or a developing and relevant research record	Master's or higher (normally) And/or well established and relevant research record	Master's or higher (normally) And/or well established and relevant research record	Master's or higher (normally) And/or a developing and relevant research record
Staff position	Academic teaching staff, excluding contract teaching staff (note that the latter and "post docs" can be appointed as advisers).	Academic teaching staff, excluding contract teaching staff and/or research technicians Research scientists (Senior Technical Officers or equivalent can act as advisers). -Postdoctoral fellows on at least a 3-year tenure.	Academic teaching staff, excluding contract teaching staff. Research scientists (Senior Technical Officers or equivalent can act as advisers).  Postdoctoral fellows on at least a 3-year tenure.	Academic teaching staff, including contract teaching staff. Research scientists (Senior Technical Officers or equivalent can act as advisers).  Postdoctoral fellows	Academic teaching staff, including contract teaching staff. - Research scientists and Senior Technical Officers ('post docs' can act as advisers).  Postdoctoral fellows
Supervision professional development	<ul style="list-style-type: none"> <li>• Appropriate attendance at one of the biannual "regulations and procedures" supervision workshops'.</li> <li>• Appropriate attendance at a triennial staff supervision workshop for both new and existing staff.</li> </ul> <p>All new staff enter into a mentoring arrangement.</p>				
Previous experience	Once PhD associate or Master's supervision successfully undertaken.	Based on other criteria	Once PhD associate or Master's associate undertaken.		Based on other criteria
New staff awareness programme	New staff required to attend the annual Lincoln University supervision practice workshop.				

**Notes:**

Note that advisers are provided for in the House Rules and should be selected on a context specific basis, e.g., where an external agency or other institution is involved.

1. Some senior academics/researchers without PhDs have outstanding records in research, teaching and supervision; staff without the defined qualifications will be considered for suitability on a case-by-case basis.
2. The following is quoted directly from our PhD admission form: "If an international application, then the Ministry of Education requires us to appoint a primary supervisor who has national and/or international research standing; and Allowing for the above, we should consider that all students should have supervision 'teams' that meet the above criteria."
3. Either nationally or internationally recognised including multiple publications in peer reviewed international journals or the discipline-specific equivalents.
4. The adviser role offers these staff professional development opportunities as well as publishing opportunities.
5. Including from externally approved research agencies approved as 'fit for purpose' for this role.
6. If evidence is provided of attending a relevant workshop at another university, this will suffice.
7. For new academic and research staff, attendance to be in the first year of employment; for existing experienced-in-supervision staff, attendance to take place at least once every four years.

Students should be prepared to take the initiative in arranging meetings where necessary. The writing of a thesis involves input from both the student and the Supervisor, but each has a different role. The Supervisor's role is to provide critical comment and guidance. This guidance, particularly at the first draft stage, is likely to include detailed advice on aspects such as overall organisation and the development of argument (aspects which professional editors term 'substantive editing'). The student, however, is ultimately responsible for writing the thesis. This requires a high level of expertise in academic writing and English language and the student should make all efforts to improve his/her writing and English language skills during the research/writing process. Education and support in academic writing is available on campus through Library, Teaching and Learning.

In some circumstances, the Supervisor may recommend that the final draft of the thesis is copy-edited by a third party. Copy editing involves correcting grammar, syntax, punctuation, and spelling, and ensuring consistency of presentation style; it does not include correcting substantive errors of language, clarity and style. Copy editing of the final draft cannot ameliorate any significant weaknesses in written language.

### **Research Costs and Resources**

The Dean of Faculty or the Faculty Postgraduate Coordinator will analyse the requirements of the topic, in order to determine that the facilities needed for the project are available (including the proposed source of funds where applicable), that supervision can be provided, that the thesis can be completed within the specified time and that the project is otherwise acceptable.

Dean of Faculty's will not approve a research topic if the research is dependent on obtaining a grant which has been applied for but not awarded at the time the application is made.

The substantive research should not begin until the research proposal has been approved by the Dean of Faculty.

Once enrolled in the thesis, the Postgraduate and Research School will release a grant to the Faculty to assist in the costs of the project for up to 3EFTS. The present rate is \$2,000 per year. Students should note, however, that this is an allocation to the Faculty not to the student. Each Faculty has different ways of distributing and allocating these funds. This may mean for instance, that the Faculty provides the student with less than \$2,000 to assist in research expenses, depending on the criteria used to allot funds in the Faculty.

## **External Co-supervisors**

In some circumstances, and in particular, where a student's project requires direction from two disciplinary perspectives, the Dean of Faculty may appoint a Co-supervisor. A Co-supervisor is a member of the University staff who will play a leading or major role in the research but who will not share the administrative roles that are the responsibility of the Supervisor and Associate supervisor.

In some cases, the University will appoint one or more supervisors from outside of the University.

The appointment of external members to the supervision team does not remove the need for internal supervisors.

All candidates for PhD and master's degrees by thesis only or by thesis and examination, must have two members of the lecturing staff of Lincoln University in their supervision team. This ensures that in each supervision team, there are at least two members who have an understanding of and can perform, the administrative functions of supervisors.

An external member of the supervision team will have one of three possible designations, depending on the role played in the project. The three possible designations are:

- Co-supervisor
- Associate Co-supervisor
- Adviser.

Appointment as Co-Supervisor is appropriate where the person plays a major or leading role in the research supervision. This includes participation in the research project formulation, participation in the formulation of the research objectives and participation on going, regular reviews of research.

The designation 'Associate Co-supervisor' is used when the person plays a major, but not leading, role in the supervision.

If the external person plays a more minor role, then the appropriate designation is 'Adviser'.

Anyone appointed as External Co-supervisor or Associate Co-supervisor is expected to have the qualifications and experience that would be appropriate for a member of the lecturing staff of Lincoln University. Any external member of the supervision team who does not have that level of qualification or experience would normally be appointed an adviser.

The responsibility for making an appointment as External Co-supervisor, Associate Co-supervisor or adviser rests with the Dean of Faculty. The letter of appointment is normally prepared by the Team Leader, Postgraduate and signed by the approving authority.

People who assist the University by accepting appointment as Co-supervisor or Associate Co-supervisor may, in certain circumstances, be eligible for appointment as honorary lecturers or honorary research associates. These appointments are made by the Vice-Chancellor on the recommendation of the Dean of Faculty.

## Quality of Supervision

### Roles of Supervisors and Research Students

A study<sup>2</sup> done at Victoria University of Wellington in 1996, identified the most significant roles played by the thesis supervisor and research student. These roles and their descriptions are listed here to assist in understand the expectations of a student and to clarify what might reasonably be expected of the supervisor.

Please note that this list is indicative only. It is not exhaustive. It would be a good idea for student's to discuss this section with the supervisor at the beginning of the research in order to clarify student and supervisor expectations.

### Thesis Supervisor

Academic Adviser	This is the role of knowing about academic structures and processes and using this knowledge to assist the student to make decisions regarding the planning of the research process.
Teacher	The supervisor is expected to maintain expert knowledge and skills in a discipline area or areas and communicating associated information, knowledge and ideas in a way which stimulates the student to think and learn and take responsibility for their own learning.
Motivator	This is the role of providing the conditions which encourage the student to sustain their motivation through to successful completion of the thesis.
Assessor	This requires the supervisor to assess the student's progress and final submission in line with University requirements.
Negotiator	This entails managing the different stages of the relationship with the student, to achieve mutually acceptable outcomes.
Self Manager	This is the role of determining priorities, setting limits and devising personal strategies, so as to maintain one's own professional effectiveness as a supervisor.
Communicator	The supervisor is expected to communicate information, knowledge and ideas relevant to the different phases of the supervision relationship.

### Thesis Student

Proposal Developer	You are expected to identify the limits and scope of the research and to develop a research proposal which addresses the purpose, rationale, method and resourcing of the research.
Data Analyst	This is the role of understanding an appropriate range of research methodologies and selections and using analytical techniques relevant to the research problem.

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2 Kidman, J., Hall, C. & Murray, L. (1996) *Training needs analysis: The thesis supervisor and the thesis student at Victoria University of Wellington.*: Report to University Teaching Development Centre, Victoria University of Wellington.

Thesis Manager	This requires you to plan and implement the research, and to develop supplementary skills and understanding to aid the successful completion of the study.
Critical Thinker	This is the role of separating the essential from the inessential, the accurate from the inaccurate and the true from the misleading. It requires an understanding of the language, behaviour, knowledge structures and culture of the subject.
Negotiator	This entails managing the different stages of the relationship with your supervisor(s) to achieve mutually acceptable outcomes.
Self Manager	This means that you are expected to determine priorities, set limits, and devise personal strategies so as to maintain your own personal and professional effectiveness.
Communicator	This is the role of communicating information, knowledge and ideas relevant to the different phases of the research, and using an appropriate range of media.

### **Responsibilities of Supervisors**

The thesis Supervisor is expected to have regular contact with the student and to be available by appointment. He or she should assist with the overall conception of research, development of theory, choice of methods, including, if appropriate, the design of experiments, organisation of fieldwork and provision of facilities. Supervisors are obliged to see that all research meets the University's requirements on safety and on ethics. For example, safety standards for radio isotopes and biohazards in research must be met, while research involving people and animals must satisfy high ethical standards.

If conducting social science research or research on vertebrate animals, students need to discuss with their supervisor the University's ethical requirements and to become familiar with those requirements.

The requirements of the Human Subjects Committee and the Animal Ethics Committee are set out in the Policies and Procedures Manual (LPP ACAE and CCHE). Supervisors are expected to be familiar with those requirements and, thus, to be aware of what approvals are needed and how those approvals are to be obtained.

The Supervisor should provide the student with guidelines on the processes of thesis presentation appropriate to the topic area and approach followed in the study. This may include advice on the composition and the content of chapters (e.g., literature review, conceptual framework, methodology, analysis, results, conclusions, policy implications).

In preparing the thesis the student will need critical assessment and help during all stages. The student may also need help to organise and adhere to a personal research timetable. The supervisor is the first source of advice and assistance.

The Supervisor should provide the student with guidelines about when an embargo or restriction may need to be applied to their thesis. [Link to Grounds for Embargo Guidelines.](#)

If grounds exist then an 'Embargo Notification Form' needs to be completed by the Supervisor and Student. [Link to Embargo Notification Form](#)

Lincoln University runs supervision workshops and training sessions which aim to assist academic staff acquire the skills needed for successful supervision of research students.

If the Supervisor is absent for a period during the students research (for instance on conference or refresher leave), it is up to the Dean of Faculty to make arrangements to ensure that the student receives appropriate support and supervision during that period. Unless the absence of the Supervisor is sudden or unforeseen, or unless there are other unusual circumstances, this would not normally be regarded as grounds for an extension of time or for any other dispensation.

### **Responsibilities of Students**

Students should give careful thought to whom they have as a supervisor. Students should be prepared to take the initiative in arranging meetings where necessary. A stimulating and successful thesis depends very much on the creation and maintenance of a good working relationship between candidate and Supervisor. Any preferences the student may have should be discussed with the Dean of Faculty or, where appropriate, the Faculty Co-ordinator of Postgraduate Studies. Students should note, however, that the final say on who is appointed as supervisor rests with the Dean of Faculty.

All PhD candidates need to learn to work independently but there should be regular contact and discussion with their supervisor and students should be prepared to take the initiative in arranging meetings where necessary.

All PhD candidates are expected to contribute to the life of the Faculty where they are working, and are expected to attend faculty seminars.

### **Copy Editing**

The writing of a thesis involves input from both the student and the Supervisor, but each has a different role. The Supervisor's role is to provide critical comment and guidance. This guidance, particularly at the first draft stage, is likely to include detailed advice on aspects such as overall organisation and the development of argument (aspects which professional editors term 'substantive editing'). The student, however, is ultimately responsible for writing the thesis. This requires a high level of expertise in academic writing and English language.

It is not considered 'usual practice' at Lincoln University for students to have professional, or third party, assistance in editing their theses. However, in some circumstances, the supervisor may recommend that the final draft of the thesis is copy-edited by a third party. If a thesis is to be copy-edited, the Supervisor should give permission in writing, the editor should be one recommended by Library, Teaching and Learning or the Faculty, and the copy editing should be acknowledged in the thesis.

It is important to note that copy editing involves correcting errors of grammar, syntax, punctuation, and spelling, and ensuring consistency of style; it does not include correcting substantive errors of content, structure, language and style. Copy editing of the final draft, therefore, cannot ameliorate any significant weaknesses in written language. The student should make all efforts to improve his/her writing and English language skills during the research/writing process, including making use of the education and support in academic writing available through Library, Teaching and Learning.

### **When Things Go Wrong**

In most cases, PhD studies are fruitful and rewarding. Nevertheless, problems do arise from time to time and it is important not to 'let things drift'. In the first instance, students should discuss difficulties with their supervisor. However if this is not appropriate or satisfactory (e.g. where the

problem relates to the Supervisor), it should be discussed with the Dean of Faculty or with one of the PhD coordinators or with the Postgraduate Director. Such discussions are always confidential.

The University has a grievances and appeals process. If students wish to lodge a formal complaint or to appeal against a decision of the supervisor, Dean of Faculty or the Academic Administration Committee, they should consult the Team Leader, Postgraduate in Student Administration.

## Section 10: Thesis

### Changes in Topic or Supervisor

To make a major change to the thesis topic, or a change of supervisor, during the programme, it is essential that students obtain the approval of the Dean of Faculty or nominee for the change. If the supervisor resigns, or is otherwise unable to fulfil the role of supervisor during a student's course of study, the Dean of Faculty or nominee must appoint a replacement supervisor.

### Seminar Presentation of Thesis Results

Once the research for a thesis is completed, but before the final draft is written, students must present a research seminar;

- either to the Faculty/Department
- Postgraduate Research Conference
- or other approved conferences

This is so that the supervisor and the associate supervisor and any other members of the supervision team are informed of the results of the work. This has a two-fold purpose. It requires the student to summarise the key findings from the research and, at the same time, allows comment and suggestions from the audience on data analysis and on presentation and interpretation of the results. These suggestions can then be incorporated in the final draft of the thesis.

### Thesis Preparation

The thesis must be prepared in accordance with Regulation I of the General Course and Examination Regulations of the *Lincoln University Calendar*. More general points that should be noted are as follows:

An overall plan for the thesis should be compiled and discussed with the supervisor before any writing begins.

As the first draft of the thesis is written, completed sections should be given to the supervisors for critical comment. Students have a right to expect that these will be examined carefully and critically and returned promptly. Comment will mostly be about the substance of the research and the overall organisation and development of ideas. Students are expected to present the draft in a form that is readable by the supervisor(s) – written expression is an important skill and one that is expected of the student. If students are concerned about their written language skills, they should contact Library, Teaching and Learning staff early on in the research process to assist with a programme aimed at improving these skills.

Particular care must be taken with presentation. Excessive numbers of spelling mistakes and typographical errors can require a thesis to be rewritten, no matter how well-performed the research. If concerned about written language skills, the student should contact Library, Teaching and Learning early on in the research process.

In some circumstances, the student may employ a third party to copy edit the final draft. This is permitted provided:

- The editing assistance is limited to copy editing (i.e. accuracy and consistency at the sentence level- for example, sentence structure, grammar, punctuation).
- The supervisor gives permission in writing for copy editing to occur.

- The editor is one approved by the supervisor (from a list approved by Lincoln University).
- The copy editing is declared as an “external contribution” on the Declaration form included in every thesis, and a description of the editing service is included in the Acknowledgements section of the thesis.

The thesis may not be submitted for examination without the final draft first having been seen as a complete document by at least one of the supervisors.

Succinctness is important. An examiner is not impressed by the length of a thesis, but by its content. A lengthy introduction and reference list does not prove that the candidate has thought deeply about the subject. A single moderate-sized volume is normally quite sufficient. As a rough guide, a thesis of about 100,000 words, excluding references and appendices is suggested for a PhD thesis and this would include double-space typing, tables, figures and diagrams. Requirements will differ between disciplines and candidates should discuss with their supervisor the expectations which relate to the Faculty.

Where possible and appropriate, the raw data on which research is based should be included in the thesis, usually in appendices. Alternatively, the data may be stored in the Faculty in electronic form. In some cases, where the research involves human subjects, the data must be stored in a confidential way and must be destroyed after a period of time. In other cases, the data may be made available on request to those who read the thesis.

It is a good idea to write the easiest parts (e.g., the methodology section or the literature review) of a thesis first.

Students are strongly encouraged to publish the results of their research. Publication practice varies between faculties, but it is essential that there should be full discussion with supervisors concerning authorship, choice of journal, timing of publication, etc. Where both candidate and supervisor are co-authors, each has a right to expect that such publications will not be excessively delayed. Papers may be published before the thesis is completed. Where appropriate, a published paper may form a chapter in the body of the thesis, provided that the candidate is the senior author of the paper and provided that the paper follows the style of other chapters and is integrated with the rest of the thesis in a general discussion. Alternatively, a paper may be cited in the thesis or it may form an appendix to the thesis. Also refer to the AUTHOR GUIDELINES FOR ACADEMIC PAPERS taken from the **BRITISH SOCIOLOGICAL ASSOCIATION** <http://www.wiley.com/bw/submit.asp?ref=0007-1315>

### **Thesis Cost**

Students are expected to meet the cost of the preparation and binding of the thesis, unless these costs are met under the terms of a specific scholarship, grant or other award.

### **Thesis Length**

As noted above, it is suggested, as a rough guide, that PhD theses be no longer than 100,000 words. This includes double-space typing, tables, figures and diagrams but excludes appendices. This guideline may appear unduly restrictive on completion of the first detailed draft. Experience shows that thorough editing and rewording, together with careful organisation and reorganisation, will result in a thesis that meets this guideline with no substantive loss of information.

The typical length will, however, depend on the field that the research is being conducting. Students should therefore discuss the matter of thesis length with their supervisor and be guided by the conventions that apply to the Faculty and discipline.

## **Types of Thesis**

Examiners (and supervisors) are typically faced with two styles of thesis from/at Lincoln University: the 'standard' or traditional thesis, and the thesis by manuscript(s). Both are acceptable with the former being by far the most common submission. This note expands on the requirements for the thesis by manuscript(s), as this is likely to become more common in the PBRF environment.

### **Standard**

A 'standard' thesis contains:

- Introduction which contains a brief background, the problem statement, hypothesis, goals, objectives, study approach and chapter outline;
- Literature Review which is, full, up-to-date and insightful;
- Methodology, Methods and Materials, which justifies the chosen methodology and outlines the methods and if appropriate materials;
- Study Areas or Study Context, which sets the locational, policy, social or other scenes;
- Results - normally 1-3 chapters describing findings, i.e., the empirical component
- Discussion, which evaluates the findings and their implications in terms of the literature, theories, etc; and
- Conclusion, which integrates the entire thesis, assesses the contribution the research has made to the sum of knowledge, revisits the research objectives, makes recommendations, etc.

### **Thesis by manuscript(s) or similar**

An alternative thesis form is one built around a set of peer reviewed published manuscripts, or manuscripts prepared for submission. This format is used on occasion at Lincoln University and has some specific requirements. In particular such a thesis must present as an integrated whole and therefore, aside from the manuscript chapters, must have:

- an overall and separate Introduction;
- an insightful and separate Literature review, which may be combined with a substantially extended Introduction;
- a Methodology which outlines and justifies the range of methods used in the stand alone manuscripts; and
- an overall Discussion and Conclusions chapter or separate chapters.

With respect to this style of thesis there must also be:

- an effort to reduce the amount of redundant or repetitive introductory material in the manuscript-based chapters, i.e., from experience the manuscript chapters often contain repetition of the same material. With modern word processing and referencing packages this should be able to be removed or substantially reduced with minimal effort;
- a single, standard, referencing system, following the final chapter of the thesis;
- a consistent spelling style, e.g., 's' rather than 'z', or vice versa;
- a statement at the beginning of the thesis about the status of manuscripts submitted as part of the thesis, e.g., have they been submitted and are subject to review, are they published and if so where, if they are jointly authored then who are the other authors? and
- copies of published manuscripts in the appendices.

### **Thesis Binding**

For examination, copies should be bound in soft covers by any conventional book binding method so long as the left page margin is secure through its entire length. This includes spiral binding. Further, spirally bound theses may also be printed on both sides of the page, using 1.5 line spacing.

*Third Party Copyright Permission*

Students must remember to request permission before using any third party copyright information in their thesis. The Library staff or the legal adviser (Vice-Chancellor's Office) can provide advice and guidance on all copyright matters.

## Section 11: Thesis Examination

### Thesis Submission

Students must be enrolled when they submit the thesis for examination.

When the thesis is completed and bound, two copies should be submitted to Student Administration where their receipt will be recorded. With the thesis must be a declaration form (forms are held by the Faculty Postgraduate Administrator or in Student Administration) signed by the student and the Supervisor stating that the work was carried out under his or her immediate supervision and that the contribution of the Associate Supervisor and, where appropriate, the External Supervisor, Associate Co-supervisor and/or adviser was consistent with normal supervisory practice. This declaration also acknowledges external contributions, including substantive input such as joint authorship and significant contributions of intellectual property (for example, research and resource contributions from CRIs, and assistance from external authorities in the discipline), and copy editing. Details of the contribution (including the name of the contributor and a description of the input) should be included in the Acknowledgements section of the thesis.

The Team Leader, Postgraduate will then notify the Supervisor that the thesis has been submitted, and send copies to the two external examiners. The Supervisor is expected to write a context report which will be provided to the New Zealand external examiner immediately prior to the oral exam. The report is written after consultation with the supervisory panel, and following the submission of the thesis, confirming:

- The work presented in the thesis is the candidate's own work, and contributions made by others has been properly identified by the candidate;
- Factors which may have influenced the work of the candidate; and
- The technical/practical capability of the candidate.

With their copies of the thesis, the two external examiners will also be sent the letter of appointment as examiner and a copy of the instructions for examining theses.

For students wanting to attend the graduation ceremony immediately following the submission of the thesis, the submission date must be at least four months prior to the published graduation date so students need to be careful when they submit their theses.

Approximately three to six months can be expected to elapse between the submission of a thesis to a student being cleared to graduate (including a decision by the Academic Administration Committee on the award of the degree). Examiners are given two months to mark a thesis. Often examiners are able to mark a thesis in a much shorter period of time but this should not be relied upon. It is inappropriate to expect the examiner to drop everything he or she is doing to mark a thesis. To ensure that there is sufficient time for students to appear in the printed list of graduates for the graduation ceremony, they should aim to submit their thesis no later than the end of November to have some confidence of being able to receive their degree at the next graduation ceremony. The later the thesis is submitted, the less likely it is that the student will be able to graduate at the ceremony.

## **Thesis Examiners**

Two external examiners are involved in marking a PhD thesis. The external examiners are appointed by the Academic Administration Committee and are chosen for their knowledge in the field of study, together with a good understanding of the university examination system and standards. For a PhD the University requires one examiner to be from a country other than New Zealand. The other external examiner is normally from within New Zealand but outside Lincoln University. It is not appropriate to;

- appoint examiners that are known to the student;
- appoint examiners who have no experience at marking a PhD unless the other external nomination has substantial supervision and experience in marking student's thesis at this level;
- appoint examiners that have recently been employed (less than 5 year's) by the University or a student.

The Supervisor is expected to contact the proposed external examiner informally and obtain their tentative agreement to act before the Academic Administration Committee considers the nomination. If a supervisor is in any doubt about the suitability of any person proposed, he or she should informally consult the Convenor of the Academic Administration Committee before approaching the proposed examiner. This will avoid any embarrassment should the Academic Administration Committee be unwilling to confirm a proposed examiner.

Approximately two months before the submission of the thesis, the Supervisor should make a recommendation to the Academic Administration Committee on the appointment of the external examiners. In recommending the external examiner/s, the Supervisor should supply to the Academic Administration Committee:

- full names, titles and postal addresses;
- academic qualifications, including university;
- the posts held by the proposed examiners and a brief statement (one paragraph) of their status in the field for which they are recommended as examiners.
- curriculum vitae.

The nominations should be endorsed by the Dean of Faculty or the Centre Director. When the nomination has been prepared, it should be submitted to the Team Leader, Postgraduate.

When appointing the external examiner/s, the Academic Administration Committee will also approve an examination convenor. The convenor will be a senior member of the academic staff of Lincoln University, who may not be from the student's Department. The convenor need not be an expert in the student's field of research.

The role of the convenor is to:

- oversee the whole examination and preserve impartiality;
- collate the reports of the independent examiners;
- determine whether a dispute exists; and
- chair the oral examination

report to the Convenor of the Academic Administration Committee on the conduct of the exam and ensure a recommendation and examination report is provided.

## **Criteria for Judging PhD Theses**

The thesis will be assessed by both examiners. The examiner will mark the thesis independently and will each submit a report and recommendation and separate set of questions without seeing

the other examiner's report. Following receipt of the written reports the AAC will determine if the thesis qualifies for the student to undertake an oral examination in which one of the examiners asks the student questions about the results of their research and about the general field of the research. The award of the degree could depend on satisfactory performance in the oral examination as well as in the examination of the thesis.

To better understand the way in which the examiners will assess the PhD thesis, we have set out below the instruction criteria to examiners.

#### Criteria Evaluation

Criterion 1: A PhD degree is designed to create new knowledge through original research. Therefore, candidates for PhD degrees must demonstrate **originality, critical insight and a capacity to carry out independent research**. A candidate has succeeded in this when the thesis can demonstrate to an examiner that, moving from the base of the declared aims and objectives, originality and insight are evident, that the results are original and represent new knowledge in the discipline, that this is done through excellence of presentation, that significant components of the work are publishable in refereed journals of standing, that sound statistical analyses have been carried out where appropriate, and that there has been good integration of the candidate's work with that in the literature.

Criterion 2: The thesis should be presented as a coherent body of work. It should contain a **critical review of the literature** on the subject. It should set out clearly the aims and the objectives of the research. The materials and methods used should be set out in sufficient detail so that the work could be repeated, where appropriate, by another person. Tables, graphs and figures should be well presented, accurate and concise and suitable techniques used to evaluate the results. A final discussion should be included, covering previous work, the present results and future investigations. Conclusions should be clear and precise.

Criterion 3: The thesis should contain information which **contributes to the sum of knowledge or technical procedures** on the subject studied and provides new understanding of the subject with which it deals.

Criterion 4: The thesis should be **clear, accurate, cogent, and concise**. It should be free of typographical errors, errors of spelling or language construction.

Criterion 5: In scientific work, units of measure **should conform to SI** unless there are clear reasons for not doing so.

Criterion 6: The work should be suitably documented and citations correct in every detail. Although there is no prescribed standard method of setting out a reference list, the method adopted should be uniform throughout. Refer to the University Library publication Presentation and Deposit of Theses and Dissertations: Library Requirements and Guidelines. This can be found at <http://library.lincoln.ac.nz/Research/Submitting-research-outputs/>

#### Assessing the Thesis

Examiners, in assessing a thesis, will not give equal weight to each of the criteria specified above. Greatest significance will be given to the quality of the research done, the integrity of the methodology used and the candidate's ability to demonstrate originality, critical insight and capacity to carry out independent research.

Presentational aspects will be of secondary importance although poor presentation will count unfavourably in the examination. Poor presentation will probably mean that a greater number of editorial changes will be needed before the thesis can be accepted as appropriate to deposit in the Library. Candidates presenting theses significantly in excess of the recommended length should note that examiners may judge the thesis less favourably if the greater length detracts from the overall quality of the presentation.

Examiners need to make a recommendation on the award of the degree. This is an assessment of the suitability of the thesis as worthy of the award of a Doctor of Philosophy degree. The intention of this recommendation is to make a global assessment of the thesis against national and international norms for doctoral theses.

The standard recommendations available to examiners are:

#### **RECOMMENDATION:**

**Note:** If the examiners all recommend options (a) or (b) then the student will proceed to an oral examination of the thesis.

- **Pass**

- a) That the thesis meets the required standard for the award of the Doctoral degree;

**Note:** Such a thesis may contain minor errors, the sum of which do not detract from its overall quality to such an extent that it requires corrections to be made.

- **Amendments Required**

- b) That the thesis will meet the required standard for the award of the Doctoral degree on satisfactory completion of the recommended amendments to the satisfaction of the student's supervisor, before deposit in the Library;

- **Re-examination**

- c) That the thesis does not meet the required standards for the award of the Doctoral degree, but has sufficient merit that the required standard may be met following further research, re-analysis of data, and/or synthesis of information;

- **Fail**

- d) That the thesis does not meet the required standards for the award of the Doctoral degree, and further research or revision of the thesis would unlikely raise it to Doctoral degree standard.

- **Masters**

- e) That the thesis would likely, with or without recommended amendments, meet the standards required for the award of the Master of Applied Science, without honours and with a pass grade only.

#### **Examiner's Report**

In reporting on the thesis, an examiner will complete an examination report form and also provide written comments on the thesis in general, a separate list of questions regarding the thesis, and a recommendation (should such be warranted) for consideration of the thesis in the annual list of Dean's Awards for Exceptional Theses. Lincoln University also expects examiners to indicate the areas in which changes are required. The University considers these reports to be very valuable academic and professional feedback for students. Consequently examiners are encouraged to be as detailed and as expansive as time permits.

The examiner who will not attend the oral examination (normally the overseas external examiner) is asked to supply a list of questions to be put to the candidate at the oral examination on his or her

behalf. This list will be passed to the New Zealand external examiner by the oral examination convenor.

Examiners' reports may also be used as items in the University's quality management processes. For instance, reports (with the identity of examiner and student protected) may be considered during Faculty reviews.

The examiners' reports, but not the questions, will be provided to the student no less than 5 working days prior to the oral examination.

### **Disputes on Recommendations**

Disputes between examiners are governed by Regulation L of the Statutes and General Regulations in the Lincoln University Calendar. What follows is a description of the procedures used by the University to resolve disputes.

As noted above, there are several standard recommendations available to examiners. At this stage the convenor should contact the Team Leader, Postgraduate, the Convenor of the Academic Administration Committee or the Postgraduate Director for advice and clarification.

### **Procedure for Facilitating 'Dispute' Resolution**

Upon receiving the examiners reports and after confirming that a potential dispute does indeed exist, the examination convenor shall compile the examiner reports and send them to both examiners (names of examiners shall remain on the reports). Along with the reports the convenor will ask each examiner to, independently, determine where the key dispute issues arise, to reconsider these issues in light of the other reports, and respond by e-mail or phone to the examination convenor with one of the following views:

- That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reasons) that they cannot change their recommendation;
- That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reasons) that they would like to change their recommendation
- That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reason) that they would like to discuss the following points with "name" of examiner, before finalising their recommendation.

It is important to note in this process that Lincoln University is not trying to pressure examiners into compromise, rather this is a process to look at the bigger picture and assess whether or not there is room for mutual and agreed adjustment, without coercion.

Once these brief reports are received the examination convenor evaluates whether or not potential for agreement to change exists, and then mediates the process for formalising that agreement, either by phone or e-mail. If the process leads to no changes occurring then a 'Continuing dispute' is defined and managed under 3.3.

Whatever the outcome the Convenor shall write a very brief report summarising the outcomes of the process to the Team Leader, Postgraduate with copies to all the examiners.

### **Continuing Dispute**

- if the dispute persists following the exercise above, then the Supervisor and the Dean of Faculty will be asked by the Team Leader, Postgraduate to submit to the Academic Administration Committee the names of three people, external to the University, appropriately qualified for the role of additional external examiner;
- the convenor of the Academic Administration Committee will recommend to the Vice-Chancellor the appointment of an additional external examiner, who may or may not be from among those nominated by the Dean of Faculty;
- once he or she has accepted the position, the additional external examiner will be provided with a copy of the thesis and asked to examine the thesis and prepare a report;
- the Team Leader, Postgraduate will also provide to the additional external examiner:
  - a copy of each of the examiners' reports, in a sealed envelope, with the names of the examiners and the examiners' institutions and other affiliations blacked out; and
  - a copy of the report on the examination prepared by the examination convenor;
- the additional external examiner will also be asked to comment on the examination and the reports of the examiners.

The report of the additional external examiner will be considered by a meeting of the Academic Administration Committee, together with the reports of the other examiners and the report of the examination convenor. The Academic Administration Committee will then determine whether to:

- proceed to an oral examination;
- require the candidate to revise and resubmit;
- make no award;
- award Master of Applied Science, without honours and with a pass grade only;

taking account of all of the reports.

### **Release of Examiners' Reports**

Under normal circumstances, students will be entitled to copies of all examiners' reports and comments (but not to the separate written questions or to the examiner's recommendation) no less than 5 working days prior to the oral examination occurring.

If a dispute occurs during the examination process, release of the reports cannot be made until the examination of the thesis is complete. The effect of this is that, if a student is asked to revise and resubmit, they will receive copies of all reports to enable the revision to be done. They may not, however, see any of the reports while the thesis is still under examination.

One consequence of this rule is that if the student is required to revise and resubmit, then, before releasing the reports, the University will expect them to sign a declaration to the effect that if the student accepts the decision to revise and resubmit that they are accepting the examination of the original thesis to have been completed.

In the case of a dispute, the Academic Administration Committee will release a copy of the initial reports to the Supervisor to assist him or her in nominating an additional examiner. The Supervisor or Dean of Faculty will not be allowed to release to the student or to any other person a copy of these reports without the prior approval of the Academic Administration Committee.

### **The Examination of a Revised and Re-submitted Thesis**

If the result of the examination is to require the student to revise and re-submit their thesis, then this is treated, for examination purposes, as an entirely new thesis. New examiners will be

appointed. The Dean of Faculty may (but is not obliged to) appoint new supervisors. In this case, the student will be given a submission date for the revised thesis that will depend on the extent of the revision needed. The student will be expected to enrol and register and pay tuition fees during the revision period. If the student is international and offshore, international fees will apply.

### **Right of Candidate to Appeal**

No appeals are allowed, except those based on procedural irregularities in the examination process.

An ad hoc appeals committee will be established by the Vice-Chancellor in the event of an appeal being lodged.

The main function of the appeals committee will be to ensure that the examination was conducted thoroughly in all aspects.

### **Payment of Examiners**

The Team Leader, Postgraduate will arrange for the payment of the standard fee to the examiners once their reports have been received.

Cost of travel, etc. incurred by the New Zealand examiner will be reimbursed. It is most convenient if the travel tickets are purchased by the New Zealand examiner and the cost claimed. It is possible, however, to have the tickets purchased by the Faculty at Lincoln University if special arrangements are made with the Faculty Administrator. The Supervisor is expected to coordinate these matters.

## Section 12: The Oral Exam

### General

An oral examination is required before a PhD is awarded. This will occur if examiners believe that the thesis meets one or other of criteria (a) or (b) (see page 36)

The purpose of the oral examination is to enable the student to demonstrate their understanding of the area of their research to recognised experts in the field. It allows the examiners to question the student orally in order to:

- clarify any matters left unclear in the thesis;
- explore aspects of the topic not developed in the thesis;
- explore in greater depth the general area of the research.

### The Composition of the Examination Panel

The oral examination will be attended by:

- the examination convenor
- the New Zealand external examiner (and/or the international examiner if he/she is available)

In addition, the Dean of Faculty, supervisor, and other members of the supervision team may attend. The overseas external examiner does not usually attend. He or she will, however, be expected to include, as part of his or her report, any lines of questioning he or she wishes to see pursued in the oral examination. This list of topics and questions will be passed to the New Zealand external examiner by the oral examination convenor. The New Zealand external examiner will put these questions to the candidate at the oral examination.

### The Role of the Examination Convenor

The examination convenor is responsible for chairing the examination, preserving impartiality and preparing of the consolidated report of the examiners. While the convenor is not an examiner, he or she is not precluded from expressing in the examination report an opinion on the candidate or on the examination.

### Pre-examination responsibilities and guidelines for conducting PhD oral examinations using telecommunications

The Convenor is responsible for collating reports, following up on examiners, deciding on the next step in the process (which will normally be the oral exam: if there is disagreement amongst the examiners or an exam is not required, i.e., a fail, then other courses of action are followed as outlined in the previous section), and advising key participants of what the next step is, etc. The convenor also provides the student with the appropriate section of the examiners' reports at least 5 working days prior to the oral exam. In addition the convenor is responsible for facilitating a discussion about whether the student (and the thesis) warrants a Dean's Award for an Exceptional Thesis.

From time to time, it may not be possible to arrange to have all parties required to attend a PhD oral examination in the same venue at the same time. The Academic Administration Committee recognises that it would be expedient to allow alternative arrangements to ensure an examination can be completed in a rigorous and timely manner, and that telecommunication technologies could

be used in some circumstances to facilitate an examination. The following criteria and conditions are set out as guidelines to ensure an effective PhD oral examination takes place.

### **Criteria to be Met for Alternative Arrangements**

It is important for convenors, examiners and candidates to be aware that alternative arrangements for conducting PhD oral examinations will only be allowed under exceptional circumstances. Please note that permission from the Academic Administration Committee is required before any such arrangements can be made. Specifically, the Supervisor will provide the committee with:

- Detailed information on the grounds that prevents any person required to attend the oral examination from doing so;
- An explanation as to why the examination cannot be carried out on another occasion;
- The type and availability of the telecommunications available to the absent person(s);
- A summary of expected communication costs and who would be paying for them;
- Any other matters relevant to successful completion of the oral examination (e.g., time zone differences, etc.).

If the criteria above are met and the arrangement for an alternative arrangement for a PhD oral examination is approved by the Academic Administration Committee, the Supervisor should coordinate with the examiners, other supervisors and candidate to ensure the following conditions are met in full. The Supervisor should also confirm all arrangements with the Convenor of the PhD oral examination.

- 1) The telecommunication technology being employed and the facilities in which they are being used are of sufficient quality and reliability to allow the examination a good chance of being completed successfully.
- 2) While it may not be possible to guarantee 100% the reliability of a communication technology, back up plans should be in place, e.g., if a video link fails, back up telephone links should be available.
- 3) A test of the telecommunications technology should be carried out before the oral examination to ensure links can be established.
- 4) In the event of telecommunications failing to the point they cannot be re-established in a short period, e.g., one hour, then the examination should be terminated. The Examination Convenor will report in detail to the Convenor of AAC on:
  - a) when during the examination telecommunications failed;
  - b) how far through the examination the examiners had reached;
  - c) opinion from the examiners as to whether the examination was sufficiently close to completion for a decision to be reached, or what still needed to be completed;
  - d) any other matters germane to the completion of the examination.
- 5) When the candidate is at a remote location, the Convenor must be satisfied the candidate is in suitable examination conditions and is providing his or her own responses to questions. Candidates presenting themselves for an oral examination in this way must have an independent person (preferably a person familiar with academic matters at university level) who can confirm with the Convenor the candidate is providing his/her own responses to examiners' questions, and can confirm examination conditions are being met in full. The contact details of the independent person must be provided to AAC.

- 6) A support person may accompany the candidate, however, this person must not contribute to the examination in any way.
- 7) The Convenor will be responsible to ensure all requirements of the university are met for the examination, and will report in their letter to the Academic Administration Committee that a candidate/examiner/supervisor was 'attending' the examination by way of telecommunications. Any problems experienced during the examination must also be reported by the Convenor.

### **Examination Arrangements**

It is the responsibility of the Supervisor to make all arrangements for the time, place and any other requirements for an oral examination. The Convenor should be assured before an oral examination that all arrangements have been attended to.

A Convenor may wish to meet with the candidate a day or two before the oral examination to explain the examination process and answer any queries they may have.

### **The Role of the Supervisor**

The Supervisor has two principal roles in the oral examination:

- to coordinate the arrangements for the oral examination
- to provide clarification if so required
- to support the student

The Supervisor must:

- arrange the time and place of the examination and inform the candidate and other members of the examination panel;
- organise teas or meals as required, at the expense of the faculty concerned;
- coordinate all travel and accommodation arrangements for the external examiner;
- ask the external examiner to claim for expenses incurred, with attached receipts.

The expenses claim should be endorsed by the supervisor and forwarded to the Team Leader, Postgraduate where a refund will be arranged.

### **Recommendations Following the Oral Examination**

Having completed the oral examination, the examiners prepare a report setting out their joint opinion and making a specific recommendation. Attached to this will be the reports of the individual examiners. The convenor will forward the joint report and the individual reports together with a covering letter to the Team Leader, Postgraduate, who will arrange for confirmation of the result by the Academic Administration Committee.

A recommendation should be made in accordance with one of the following options:

- That the thesis be accepted as being of an appropriate standard for the award of the PhD degree.
- That the thesis be accepted as being of an appropriate standard for the award of a PhD, subject to minor amendments being made to the satisfaction of the supervisor.
- In this case the student is informed of the fact that he or she has met the required standard, but that minor amendments are needed. The supervisor is expected to inform the candidate of the nature of the amendments required.

- That the thesis be accepted as being of appropriate standard for the award of the PhD degree, subject to specified amendments and/or minor rewriting as outlined in the examiners' reports and/or the candidate undertaking a written examination.
- In this case, a further oral examination may or may not be requested by the examination committee. A specific date will be set for the date of resubmission. The resubmission should be made to the examination convenor. If there is to be a written examination, the administration of the examination is the responsibility of the convenor. All correspondence must, however, be copied to the Team Leader, Postgraduate. The thesis should usually then be re-examined by the whole committee to confirm that the appropriate standards have now been reached.
- That the thesis is not of a standard to warrant acceptance of the award of the degree of PhD but that the candidate be given the opportunity to revise and resubmit.
- In this case a specific date will be set for resubmission, and the candidate should be given an indication of what changes are required and where additional material is needed. The resubmission is to be made to the Team Leader, Postgraduate. In these circumstances, the whole examination procedure will have to be repeated, including the oral examination.
- That the thesis is not of a standard for the award of the degree of PhD or any other degree.

**Note:**

- a) The convenor should use rapid means of communication, e.g. telephone, email or fax when seeking the concurrence of all examiners with the result of the entire examination.
- b) The candidate shall be informed of the result of the examination without undue delay. A candidate who does not pass in the whole examination will be given written advice in general terms of the reasons for failure.

Where a recommendation that the degree be awarded without substantial additional work is unanimous, it is acceptable for the convenor to inform the candidate unofficially of this soon after the oral examination. In other cases, the candidate should be told that a result must await the decision of the Academic Administration Committee.

- c) After the Academic Administration Committee has approved the examination panel's recommendation on the examination, the candidate, on request, will be sent a copy of each examiner's report bearing the examiner's name.

**On Completion of an Oral Examination**

When an oral examination is completed, the Convenor will be responsible for the following;

- Complete the normal documentation required for oral examinations, noting in addition any relevant points from the section above.
- Arrange for a copy of the recommendation letter from examiners to Academic Administration Committee to be signed and returned to the Convenor. A scanned PDF document sent and returned is sufficient.

**Disputes at the Oral Examination**

If the examiners attending the oral cannot agree on the outcome of the examination, then the convenor must prepare a report, including:

- an account of the conduct of the oral examination;
- the views of each of the oral examiners;
- the written reports of each of the examiners.

This report will then be considered by the Academic Administration Committee which will have the power to decide the result of the examination or to call for an additional external examination of the thesis.

## Section 13: Final Result

### General

The final recommendation of the examiners is submitted to the Team Leader, Postgraduate by the examination convenor as soon as is practicable.

The responsibility for confirming the final result rests with the Academic Administration Committee.

### Final Corrections and Lodgement in the Library /Clearance to Graduate

Following the examination, the Faculty Administrator will be sent a graduation clearance form. If the thesis (usually) requires corrections and editorial changes, these required changes will have to be made and are usually set out in the reports of the examiners. The students supervisor, and/or occasionally also the New Zealand examiner, or other, will normally be responsible for oversight of the students work in making these changes. The thesis is not regarded as complete until all of the changes have been attended to.

Unless otherwise specified by the examiners, candidates normally have three months following notification of the outcome of the examination in which to complete any changes required following examination. Where advice from the Dean of Faculty or their nominee is compelling and the Academic Administration Committee may approve a longer term. Students who fail to satisfy this requirement are liable to the provisions of the unsatisfactory progress regulations as outlined in Section 5 and shall be awarded a lesser qualification or no qualification, as appropriate.

As part of the graduation clearance process, the student, under direction from the supervisor, is responsible for;

- The digital deposit of the thesis in the University Library. The copy will be made publicly accessible under the terms of the Lincoln University Open Access Policy: this may include requirements for embargo or restricted access.
- Ensuring that if full open access is not possible, and further embargo requirements are not deemed applicable, then a complete digital copy will be made available to Lincoln staff and students only. A second digital copy with the restricted material removed will be made openly available.

Instructions can be found at

<http://library.lincoln.ac.nz/Research/Theses-and-Dissertations1/Depositing-a-Digital-Thesis/>

Students will not be cleared to graduate until the deposit of the thesis has been made and sign off confirmed by the appropriate Faculty research/postgraduate chair and all debts to Lincoln University cleared and the Team Leader, Postgraduate in the Postgraduate Student Office notified. Once the student has been cleared to graduate, the Administrator, Student Records, Graduation and Awards will contact (email) the student to complete an application to graduate.

### Apply to Graduate

All students must apply to graduate. There is a deadline for this application and is separate to the process outlined above. To meet this deadline students need to take into account additional steps and requirements.