

# HANDBOOK FOR DOCTORAL STUDY

Doctoral Research Committee (DRC)

Massey University

Intranet - <http://grs.massey.ac.nz>  
Internet – <http://www.massey.ac.nz>

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## THE DOCTORAL DEGREE AT MASSEY UNIVERSITY

### The PhD degree

The degree of Doctor of Philosophy (PhD) is awarded for a thesis, which is an integrated and coherent report that demonstrates a candidate's ability to carry out independent research, analysis and presentation of this research at an advanced level in a particular field of study. The thesis may consist of several studies or cases, in which event their relationship to one another must be demonstrated. The thesis may consist of a candidate's published or unpublished work or a combination of both, provided this has not been used for the award of any other academic qualification. In the creative arts a thesis may consist of creative works plus a written component. Creative works should take a form appropriate to the discipline e.g. performance or exhibition.

The PhD degree normally involves a maximum of four years full-time, or six years part-time, research. It can be undertaken in most disciplines taught in the University.

While the style and format of theses differ according to the conventions of their disciplines, there are some general criteria against which a thesis is assessed at its completion, namely, *that the thesis as a whole should make an original contribution to the knowledge of the subject with which it deals, and the candidate should understand the relationship of the thesis to the wider context of knowledge in which it belongs.*

The thesis is examined by and defended orally before an examination committee normally consisting of a neutral convenor appointed by the DRC, one examiner from Massey University not involved in the candidate's research, and two external examiners, one of whom will normally be from outside New Zealand.

### The Named Doctorate

The Named Doctorate is a specially tailored university programme of high level study and research to support the ongoing professional development and education of existing and prospective senior managers and leaders in a wide range of professions in private and

public sector institutions. The programme of study comprises: (i) a structured suite of four high level courses that may include training in applied setting (120 credits); and (ii) a thesis investigation (240 credits) which is likely to be applied, creative or strategic in emphasis rather than basic or fundamental research, as in the PhD. In all other respects, including the procedure for thesis examination, the named doctorate and PhD are equivalent specifically in regard to the standards of discipline, rigour and scholarship that Massey University expects of all doctoral candidates.

The Doctor of Business and Administration (DBA) targets current and potential business leaders and senior managers in the private and public sectors, who are seeking experience and expertise in reflective professional practice appropriate to a leadership role in business and administration.

The Doctor of Education (EdD) degree targets existing and prospective educational leaders and managers across all sectors of education, early years to tertiary and quasi government education agencies and organisations, who are seeking experience and expertise in reflective professional practice appropriate to a leadership role in education.

Key entry qualifications for the DBA and EdD include: (i) a relevant Honours, Bachelors or Masters Degree with First Class or Second (Division 1/Upper Division) Honours, or the equivalent; and (ii) a background of appropriate professional leadership and management experience in either business and administration or education.

The Doctor of Clinical Psychology (DClinPsych) programme is a professional qualification that prepares people to integrate practice and research in their careers as clinical psychologists. Entry criteria include a relevant Bachelors, Honours, Masters, or PhD in psychology or its equivalent as well as some entry level coursework.

The named doctorate normally involves a maximum of three or four years of full-time study depending on the programme, or up to six years part-time study. It is currently available in Business and Administration, Clinical Psychology, and Education.

## **The administration of the degrees - the role of the Doctoral Research Committee (DRC)**

Massey University is recognised nationally and internationally for its contribution to research in many disciplines. A feature of its research base is its vigorous Doctoral programme. Currently over 1000 candidates are registered for Doctoral study. Most teaching and research areas of the University have Doctoral candidates.

While candidates undertake their research within their respective academic units, the Doctoral programme is administered centrally by the Doctoral Research Committee (DRC) which reports to the Academic Board, which in turn reports to the University Council. The DRC is supported by the Graduate Research School (GRS).

The DRC has overall responsibility for ensuring the smooth progress of Doctoral studies. It oversees the programme for, and monitors the progress of, each individual candidate from time of initial registration through to examination. The DRC is concerned not only with maintaining the highest academic standards, but also with protecting the interests of candidates and supervisors, and acting as a mediating body if disputes or difficulties arise. It meets monthly throughout the year, normally on the third Friday of each month.

The GRS, on behalf of the DRC, holds regular workshops on each campus providing support and information for candidates to assist them with their studies. The GRS also organises to staff development programmes for new Doctoral supervisors at Massey University.

A list of current members of the committee is readily available from the Graduate Research School (GRS) website, <http://grs.massey.ac.nz>. Candidates and supervisors should know who is on the DRC, and particularly who represents their College, but any member of the DRC can be approached at any time for advice or information.

The DRC comprises:

A chairperson, normally the Dean of the Graduate Research School

The Vice-Chancellor (ex officio)

The Assistant Vice Chancellor (Academic and International) or nominee

The Assistant Vice Chancellor (Research) or nominee

Nominee from Te Mata o te Tau (Academy for Maori Research and Scholarship)

One member appointed by the Pro Vice Chancellor of each College

One member appointed by each Campus Regional Chief Executive

Three academic staff members elected by the Academic Board

One representative elected annually by the representative body of Massey University students, who is enrolled as a fully registered full time Doctoral candidate

One representative elected annually by the representative body of Massey University students, who is enrolled as a fully registered part time Doctoral candidate

Up to two additional academic members may be co-opted

The Graduate Research School (GRS) assists with the management and administration of Doctoral degrees, and provides secretarial support to the Doctoral Research Committee.

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## ENTERING THE PROGRAMME

### Acceptance in principle for Doctoral study

This provision usually applies to international candidates whilst still overseas, who wish to check that their qualifications are academically acceptable for Doctoral study at Massey University. International students should make application directly to Student Admissions, International Office.

New Zealand candidates (domestic students) who wish to demonstrate the suitability of their qualifications for the Doctoral programme at Massey University to agencies that may be considering funding their studies may also apply for academic acceptance of study in principle by completing an Application for Pre-Approval into the Doctoral Programme, proforma **DRC 1**. Applications can be made to the GRS at any time of the year.

Prospective candidates need the equivalent of a Massey University honours or masters degree with first class or upper second (II,i) honours. In degrees where the level of honours is not given, the level of passes should be comparable. Applicants must also have satisfied the DRC that they have sufficient experience of independent research to benefit from the course. Applicants need to provide a detailed official transcript in English of their academic record, evidence of any postgraduate experience, and document any other relevant information, e.g. publications, a research proposal. Proof of proficiency in English, such as a TOEFL or IELTS score, should also be provided. Once this material is received at Massey University, it is sent to the appropriate academic unit for support before it is considered by the DRC. When the DRC formally considers the application it is concerned only with the applicant's academic standing. Other requirements to enter the Doctoral programme will have to be met at the time of provisional registration when the candidate arrives at Massey University. Candidates are formally informed of the outcome of the application in writing by the International Office for international candidates or by the GRS for domestic candidates, following the monthly DRC meeting.

**International Students Note:** All international students wanting to enrol in a Doctoral programme at Massey University, are expected to reside in New Zealand for the duration of their candidature.

Off shore study is only permitted for limited periods of research (see Study Off Campus page 22 and Fees page 30).

### **Provisional registration**

All Doctoral candidates, whether local or international, have to be registered provisionally. Applications can be made at any time of the year to the DRC and are considered at the monthly meetings.

It is expected that intending applicants will approach a staff member or head of academic unit to make preliminary enquiries about provisional registration. If there is support, an application should be made to the DRC for 'provisional registration' on proforma **DRC 2** for PhD or DCLinPsych candidates or **DRC 2.1** for DBA or EdD candidates.

In general terms provisional registration involves meeting four basic requirements. Prospective candidates should keep these in mind.

- Candidates need the equivalent of a Massey University honours or masters degree with first class or upper second (II, i) honours. In degrees where the level of honours is not given, the level of passes should be comparable. Sometimes such candidates may be granted provisional registration with the requirement that during their period of provisional registration they enrol in and pass, to a specified level, one or more relevant University papers (a maximum of 30 credits is permissible).

All applicants, other than Massey University graduates, need to provide a detailed transcript of their academic record, evidence of any postgraduate experience, and document any other relevant information, e.g. publications. (Applicants who have already been granted approval in principle are not required to supply this material again.)

- The sponsoring academic unit needs to nominate a minimum of two people with appropriate specialist knowledge who can supervise the thesis.

At least one of these, the supervisor, must be a University staff member with appropriate qualifications and research experience. Additional co-supervisors may be appointed from within or external to the University.

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- The sponsoring academic unit must provide sufficient research funding, equipment, and work space for writing and study, for the proposed research for the duration of the project.
  - The candidate must have sufficient financial resources for his/her research and personal support for the duration of the project.

***Theses in Te Reo Maori***

The Maori language is an official language of the University. Doctoral theses may be submitted in Te Reo Maori, English, or in both languages. The oral examination may also be conducted in Te Reo Maori. Candidates intending to submit their Doctoral thesis in Te Reo Maori, or in a substantial combination of English and Te Reo Maori, must indicate this intention within two months of provisional registration. They should supply a letter from the Assistant Vice Chancellor (Maori and Pasifika), or nominee, affirming that they have the required level of competency in Te Reo Maori, will be working in an area where the subject is considered to be appropriate, and that supervisory expertise is available in the Maori language.

***Head of Academic Unit certification***

The application for provisional registration shall include a certification from the Head of Academic Unit as to the candidate's suitability for Doctoral studies. Specifically, the head of academic unit is required to approve a supervisor and at least one co-supervisor, certify that appropriate facilities are available, estimate costs and indicate sources of funds, and indicate that the course can reasonably be expected to be completed within the specified time. In cases where the Head of Academic Unit will also be the main supervisor for the candidate, the provisional registration form should be certified by either their line manager or the Unit's postgraduate co-ordinator instead.

***Determination of Academic Unit and resourcing***

Given the size and diversity of some academic units (departments/institutes/schools), the following principles apply to the determination of a Doctoral candidate's academic base and resourcing:-

- The academic or 'home' unit for a Doctoral candidate will be that academic unit in which the main supervisor is located.

- Financial resources allocated by the Colleges will go to the unit in which the supervisor, and hence the candidate, is located.
- The level of resources provided to candidates, should be made explicit when studies are commenced.

### ***Topic of research***

When applying for provisional registration it is necessary to use only broad terms to describe the intended area of research on the application form. A detailed research proposal may take some time to evolve and may not be decided upon until later in the programme. Nevertheless it is desirable that the aims and methods of the research be clearly worked out between supervisor and candidate before work commences. Candidates must ensure that they notify the DRC if their topic changes. This can be done by emailing [doctoral.office@massey.ac.nz](mailto:doctoral.office@massey.ac.nz) Should a substantial change of topic occur, the candidate may be required to withdraw and start a new enrolment.

### ***Ethical approval***

Where any stage of the research programme will involve human, animal, and genetic technology, the appropriate ethical procedures must be followed and approval sought from the appropriate university authority (refer to page 27).

### ***Appointment of supervisors***

The Head of Academic Unit must nominate a supervisor, who shall be a qualified member of the academic staff of the University, and normally at least one co-supervisor who is not herself/himself a Doctoral candidate, who has complementary expertise to that of the supervisor. Additional co-supervisors may be nominated but it is not necessary to include all those persons from whom advice might be sought. A good rule is to keep the supervisory panel to an effective minimum. Co-supervision of a candidate may be carried out by a person(s) who is not a member of the academic staff. Co-supervisors should engage regularly, in an agreed manner, with the candidate and supervisor. Candidates should also be prepared to go to other staff members and researchers for advice relevant to their research.

For International PhD candidates to be eligible for domestic fees, it is a requirement of the Ministry of Education that a candidate's main supervisor is "of very good national, or international standard, and has

a research record appropriate to the student's field of study". Massey applies this requirement to both international and domestic students.

If the head of academic unit can not appoint a main supervisor that meets this requirement, a Massey co-supervisor who meets the requirement must be appointed.

Careful thought should be given to the appointment of supervisors. A stimulating and successful Doctoral candidacy depends very much on the creation and maintenance of a good working relationship between candidate and supervisors. Candidates and Heads of Academic Unit should discuss possible supervisors before they are recommended to the DRC.

#### Eligibility guidelines for supervisors

- A supervisor must hold a Doctoral degree from a recognised educational institution in the field of research proposed by the candidate. In special circumstances this provision can be waived with the permission of the Dean, Graduate Research School (on the recommendation of the Head of Academic Unit) provided that the proposed supervisor has had appropriate research experience.
- Co-supervisors do not have to have a Doctoral degree, but they must have complementary research expertise in the candidate's discipline to be effective and credible.
- Staff would normally have been a Doctoral co-supervisor at least once before they are eligible to become a supervisor, unless prior approval is given by the Head of Academic Unit and experienced co-supervisors are appointed. The exception to this would be for experienced academics with a proven record of scholarly output and supervision of research students.
- Staff will not be eligible for a supervisory role if they are currently enrolled in a Doctoral degree.

Those who have honorary positions with Massey University may supervise Doctoral candidates as follows:

- Professor Emeritus – A Professor Emeritus of Massey University is eligible to be either a supervisor or co-supervisor subject to the normal recommendation from the Head of Academic Unit. To be a supervisor the person should still be research active.

- Honorary Research Fellow – Honorary Research Fellows are persons of distinction (equivalent to Associate Professor) and/or who had made an outstanding contribution to their field; they are not employees of the university. As no remuneration is involved they would normally be a co-supervisor rather than a supervisor.
- Honorary Research Associates – Honorary Research Associates are experienced researchers who have developed a relationship with the university over a period of at least five years through either their involvement in joint research, teaching and/or supervisory activity. As no remuneration is involved they may be a co-supervisor rather than a supervisor.
- Adjunct Lecturer/Senior Lecturer/Associate Professor/Professor – Adjunct appointees are paid and their contract may include a supervisory requirement which may be as supervisor or co-supervisor.

#### Expectations for Supervisors

- Staff should become supervisors only if there is a genuine expectation that they will be in the employ of the university for the duration of the Doctoral study.
- If a supervisor leaves the university, or takes sabbatical leave, before a candidate has completed the thesis, they have a responsibility, along with the Head of Academic Unit, to ensure that a satisfactory transfer of supervisor responsibility occurs.
- New academic staff must attend a GRS Doctoral supervision workshop to confirm eligibility for Doctoral supervision.
- Supervisors are encouraged to attend a relevant course or workshop at least once every three years.
- Supervisors should have demonstrated current research/scholarly outputs that have been peer reviewed internationally within the past three years.

#### ***Candidate communication and accountability***

The following procedures apply to communication between the DRC and the Doctoral student:-

- The DRC will normally communicate with Doctoral candidates via e-mail.
- The head of the candidate's Doctoral academic unit will receive a copy of the six monthly report for information and will be asked to sign a copy for return to the DRC.

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- Massey University staff members who are Doctoral candidates and not employed in their Doctoral academic unit should expect to be accountable to their line manager in terms of making satisfactory progress with their Doctoral studies, and should ensure that their line manager is kept fully informed of progress.

***Facilities***

The Head of Academic Unit must certify that the requisite facilities are available.

***Cost and sources of funds***

The supervisor must give an estimate of costs and sources of funds. *Candidates should not be recommended for provisional registration if their research programme is dependent on obtaining a research grant that has been applied for but not granted at the time that the application is made.* The application form requires details of costs which may have to be borne by the student and these should be considered carefully, e.g. an item such as research-related travelling expenses may reach proportions that are beyond a candidate's capacity to pay and may jeopardise the research project.

***Full-time and part-time candidature***

The candidate will be required to state whether he/she is full-time or part-time. Full-time candidates should expect to commit an average of 50 hours per week for 48 weeks per year for the duration of their programme (maximum 4 years) while part-time candidates should expect to commit 25-30 hours per week, 48 weeks per year (maximum 6 years).

Candidates cannot enrol in the Doctor of Clinical Psychology programme as part time students.

Candidates enrolled in this programmes are expected to study full time. The nature of the programme with the course work, research, and practicum components precludes the opportunity to engage in part time employment.

***Paid employment during Doctoral study***

Casual work not exceeding six hours per week in total commitment need not be declared. Otherwise the candidate and Head of Academic Unit must declare the details of full-time and/or part-time appointments.

Candidates who are working full time must obtain certification from their immediate employer, stating that permission has been granted for the candidate to register for Doctoral studies and must give details of the hours the candidate will be required to work to continue in this employment. (See also **Conditions of candidacy**)

***Statement of expectations***

As part of the Provisional Registration proformas **DRC 2** and **DRC 2.1**, candidates and supervisors are required to agree on a "Statement of Expectations" as follows:

- (a) Academic Performance Standards (APS)  
A statement of the APS must be provided in which the supervisors outline what the candidate must achieve before he/she can be fully registered in one year's time, e.g. course work (and passing standard of B+ or better); communication skills (written and oral); methodological skills; writing of literature review; development of research proposal; research to be undertaken. The standards to be obtained should be measurable to enable the supervisor to clearly determine whether the candidate can be recommended for full registration after 12 months of provisional registration for full time candidates or 18 months of registration for part time candidates. While it is recognised that some of these categories may not be relevant to a particular discipline or programme, supervisors should select those that are relevant and both the supervisors and the candidate should be clear about the standards against which the candidate will be judged in terms of progression to full registration. For DBA and EdD doctorate candidates the APS requirement is to achieve a B+ or better for each component of their structured programme (i.e. course work). For DCLinPsych doctoral candidates the APS is a combination of achieving a B+ or better for each paper 175.835 and 175.920 and making satisfactory progress with their research. It should be made clear to the candidate that failure to meet the Performance Standards will result in his/her registration being delayed or terminated.
- (b) Communication arrangements  
Proposed arrangements for ensuring adequate communication between candidate and supervisor(s), including off-campus co-supervisor(s) must be specified.

Consideration should be given to such issues as: frequency and length of candidate/supervisor(s) meetings; turnaround times for feedback on written work submitted by the candidate; and the responsibilities or contributions of the supervisor and co-supervisor(s).

When developing the APS, candidates and supervisors should agree on the expectations and modus operandi for the supervisory and candidate relationship.

Both the supervisor and the candidate must sign the Statement of Expectations.

#### ***Course work in the PhD Provisional Year***

The New Zealand Government does not permit candidates enrolled in a PhD to concurrently enrol in more than 30 credits of course work. Ideally candidates should complete all course work required prior to enrolling in the PhD.

This ensures that the candidate has the best opportunity to achieve their APS and also helps with timely completion of the degree. If a supervisor requires a candidate to complete course work which exceeds 30 credits, the candidate should first enrol in a Postgraduate Certificate or Postgraduate Diploma. Candidates who are requested to complete course work will be charged tuition fees for that course work as well as tuition fees for the PhD. The course work tuition fees will be at the domestic rate. Any course work recommended in a PhD programme must be integral to the PhD. The DRC will not approve an interest elective paper.

#### **Transfer from Master's to PhD degree**

In exceptional circumstances a candidate enrolled in a Massey University Master's degree may have his/her case considered to be provisionally registered as a candidate for the Doctor of Philosophy degree. Research conducted for the Master's degree may form part of the doctoral thesis.

Initial registration for the degree is provisional and confirmation will be considered following one year of full time or 18 months part time satisfactory study.

***Specific criteria for transfer***

The case for transfer must demonstrate that a candidate's research potential and academic performance is equivalent to those of a first class honours candidate. Evidence should be provided on the following:

***Nature of research topic***

Confirmation is required that the research topic has the potential to make an original contribution to knowledge as expected of doctoral studies.

**(a) *Candidate performance***

A candidate should have a record in the Master's degree, which demonstrates consistent quality research, and scholastic achievement, including completion of work by agreed times. Copies of research progress reports can be used to help validate performance.

**(b) Evidence of research achievements and required skills relevant to the candidate's discipline will be required. Information such as the following should be used to substantiate the case**

- I. Presentation of research results at Massey University academic unit seminar(s);
- II. Presentation of research results at national or international conferences or symposia;
- III. Significant progress with literature review;
- IV. Significant progress with data collection and analysis;
- V. Provide a brief summary of results to date (up to 5pp) which should show a significant progress with the thesis draft or other form of research presentation (e.g. performance, exhibition or film);
- VI. Provide a brief outline of future work to be undertaken (2pp).

***Application process***

Applications for transfer will be prepared by the proposed PhD supervisor, for the GRS. Applications will be accompanied by a completed DRC 2 Provisional Registration application, together with evidence of any course work results and specific criteria outlined in this section.

***Duration of PhD candidature***

The application for transfer will include a recommendation from the supervisor for backdating the provisional registration date, with a maximum of 12 months full time equivalent, to recognise the time spent on the master's research.

**Massey University staff enrolling in Doctoral degrees**

Both general and academic staff are eligible to enrol for advanced study including the doctorate, with their line managers or Head of Academic Unit's approval and subject to the following:

- Waiver of fees will be available to general staff to 45 credits annually, provided, they meet the New Zealand Government criteria for domestic fee rates and have a term of employment of at least three years duration. Should the number of points in which a general staff member is enrolled exceed 45 credits, the University is not required to meet the costs of the excess amount.
- It is clearly understood that attainment of a doctorate by a member of the general staff does not imply any undertaking or obligation on the part of the University to transfer the applicant to an academic appointment.
- The conditions of service of Tutors, Senior Tutors and Research Assistants prohibit study for the doctorate within the hours of their normal duties, but do not preclude study for the doctorate should the staff member wish to do so in addition to those normal duties.
- Graduate Assistants normally enrol in a Doctoral programme as a full time candidate. Employment provisions for a Graduate Assistant state that the hours worked per calendar year shall not exceed three hundred and sixty hours. Graduate Assistants on a fractional appointment would have their hours reduced by the appropriate fraction. Graduate Assistants tend to work twelve hours per week during semester periods and then cease work and resume full time study outside semester periods.
- Research Officers normally enrol in a Doctoral programme as full time candidates, as their research conducted during working hours normally forms their doctoral degree.

- Provided that doctoral study is part of an agreed professional development plan for a staff member, the University may agree to limited arrangements for a specific period of time to timetable work requirements to enable the staff member to meet the requirements of doctoral study.

### Conditions of candidacy

The Academic Board shall determine the minimum period of registration and conditions of candidacy for each candidate. Normally the candidate will be full-time and the minimum period of registration will be two years. For full-time candidates the thesis must be submitted not later than four years from the date of provisional registration. In determining the maximum period of registration for part-time study, the Academic Board shall consider any employment or other regular activities in which the candidate is engaged, and shall not approve registration unless satisfied that the nature and extent of these commitments are such as to justify the expectation that the candidate will present the thesis for examination within a period of six years from provisional registration. The minimum period for registration for such candidates will be three calendar years. For students enrolled with the New Zealand School of Music, the maximum period of candidacy is five years whether registered on a full-time or part-time basis. This may be extended in special cases.

Where candidates change from being full-time to part-time, or vice versa, they must immediately advise the DRC by completing proforma **DRC 12**, which will then adjust the maximum registration period accordingly.

The total duration of the programme will be an aggregate of part-time and full-time components calculated on a pro-rata basis. Research may be undertaken outside the University for specified periods of time with the approval of the DRC (see Study off campus page 22). A candidate and his or her employing authority shall be required to provide formal acceptance of such conditions of candidacy as may be required by the DRC before provisional registration is approved.

A number of general conditions apply:

1. Qualified people with expertise in the area of research must be available for supervision.

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The supervisor must be a member of the academic staff of the University, and not be a Doctoral candidate.

2. If equipment, consumables, travel or other expenses are likely to incur significant cost during candidature, the DRC must be informed, *at the time of provisional registration*, how these costs are to be met.
3. With the exception of the Doctor of Clinical Psychology programme, the term 'full-time' may be interpreted to include up to six hours per week assisting with teaching programmes or other duties in the general field of study.
4. All candidates must have regular communication with their supervisors, as well as informal contact with other University staff and postgraduate students in related subject areas, and attend and participate in seminars. At least one scheduled contact per month between candidate and supervisors is desirable; normally this should be more frequent. A formal timetable of contact between the candidate and the supervisor should be organised by mutual agreement (see Statement of Expectations page 16)
5. Although candidates from some disciplines may not necessarily be located on campus, arrangements must be made to ensure regular contact is maintained with their supervisors. This will include spending block periods on campus. International candidates are expected to complete their studies in New Zealand, however, permission may be granted for off shore research (see Study Off Campus page 22 and Fees page 30)
6. When a candidate continues in employment, written statements will be required to include:
  - 6.1 Approval by the candidate's employer (or, in the case of University staff, Head of Academic Unit) of the candidature.
  - 6.2 Agreement that the supervisor(s) may have access to the candidate at his or her place of work.
  - 6.3 Any restrictions which shall apply in special circumstances.

7. Domestic students receiving financial assistance from StudyLink need to be aware that changes in their study status may affect their eligibility to access either Student Loans and/or Allowances. Students are contractually obliged to advise StudyLink of changes to their enrolment status so that their loan and/or allowance application(s) can be reassessed. If you have made a change or are thinking about making a change, and require confirmation of any possible ramifications this may have, please contact the Finance Officer, Massey University Campus Information Services on ext. 7591.
8. *In the case of any significant variation from the provisions of 3 to 6, the DRC reserves the right to reconsider the candidate's registration.*
9. The Policy for re-registration (used in cases where a candidate has withdrawn from a previous Doctoral programme and later wishes to re-register or a candidate wishes to transfer their Doctoral programme from another University). Please refer to page 57.

### **Study off campus**

All Doctoral students, both domestic and international, are required to be based in New Zealand for the duration of their Doctoral candidature. Massey University does not offer an extramural Doctoral programme. However, Doctoral candidates can apply to the DRC for special permission to study off shore for extended periods of time; each application will be considered on a case by case basis. Candidates should note that there may be a change to their fee status if they spend an extended period off shore (see Fees Section page 30). Doctoral candidates must comply with the conditions below:

#### Located in New Zealand

Candidates planning to undertake research away from a Massey University campus within New Zealand must comply with the following:

- Candidates located at a Research organisation (e.g. CRI, Health Board, Government department) should normally have a co-supervisor from that organisation who will provide regular support.

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- Candidates who are intending to study off campus for a continuous period of three months or more should normally have a co-supervisor located either at or near to where the candidate will be undertaking the research.
  - At all times candidates and supervisors should have an agreed arrangement for maintaining regular contact and providing DRC with six monthly reports in a timely manner.

Located external to New Zealand – Candidates already enrolled in a Doctoral Programme

Candidates already enrolled in a Doctoral programme who wish to undertake research external to New Zealand for a continuous period of three months or more must comply with the following:

- The candidate and their supervisor must apply separately in writing to the DRC, seeking permission for the candidate to study external to New Zealand, briefly outlining the research to be undertaken and the time required in the location(s).
- The DRC may require candidates to have a co-supervisor located either at or nearby to where the research is being undertaken, particularly if off shore residency exceeds 12 months.
- At all times candidates and supervisors should have an agreed arrangement for maintaining regular contact and providing DRC with six monthly reports in a timely manner.
- International students should be aware of the domestic fee policy relating to residency in New Zealand (see Fees page 30)
- Candidates may be asked to sign a formal agreement stipulating contractual arrangements between the candidate, their supervisor(s), and the University, clarifying the responsibilities of the University and the candidate.
- Candidates should ensure that appropriate insurance for health and personal effects cover has been arranged. Supervisors and candidates should be aware of the New Zealand Accident Compensation (ACC) policy.
- If either a staff member and/or a student is injured while conducting research overseas, ACC will only cover that injury once they return to New Zealand, and only if they have been away for less than six months. Staff and students need to arrange medical insurance for any medical expenses or treatment required overseas, and to cover travel arrangements back to New Zealand if needed.

Once back in New Zealand, a medical practitioner must be asked to initiate the process of making a claim through ACC for any ongoing medical expenses.

- If a staff member and/or student is not a New Zealand permanent resident (NZPR) or New Zealand citizen, ACC will not cover medical expenses for any injuries sustained while out of New Zealand.

#### Located External to New Zealand – Candidates applying for Provisional Registration

Candidates who wish to apply for Provisional Registration for a Doctoral programme and who intend to spend three months or more (aggregate) off shore must be aware of the following:

- Only applications from students with recent research based postgraduate qualifications in the discipline to be studied will be considered.
- Applicants for whom English or Maori is a second language, the ability to develop and maintain skills in either language of instruction will be considered before approval is granted.
- Applicants are expected to spend some time on a Massey campus during their candidature, particularly in their provisional year and for academic presentations. The amount of time spent on campus will vary with disciplines and may be reviewed in the light of the candidate's progress.
- Applicants are expected to be present on a Massey campus for their 'Confirmation of Registration' event and their oral examination.
- Applicants who are granted approval by the DRC to study off shore, will be asked to sign a formal agreement stipulating contractual arrangements between the applicant, their supervisor(s), and the University, and clarifying the responsibilities of the University and the applicant. Some of the topics the agreement will cover are:
  - Intellectual property;
  - Access to equipment and communication technology;
  - Provisions for pastoral care; and
  - Acknowledgement of the fees requirements.

Applications must comply with the following:

- The candidate and their supervisor must apply separately in writing to the DRC, seeking permission for the candidate to study external to New Zealand, outlining the research to be

- undertaken, the advantage to the University for the off shore study, and the proposed time to be spent off shore.
- The Head of Academic Unit is required to approve the application for off shore study by signing both the candidate and supervisor's written request, and approving the **DRC 2**.
  - The main supervisor must be a Massey staff member employed in an on-going position.  
The DRC may request that a co-supervisor close to where the candidate is located also be appointed.
  - Applications must demonstrate as part of the 'Statement of Expectations' that they have access to satisfactory internet and telephone services, and must provide a detailed schedule of contact between the supervisor(s) and the candidate via email and other media.
  - Candidates once approved, must provide regular six monthly reports, and must comment on their adherence to the formal agreement in the body of the report.

### **Finances and resources**

Intending candidates should investigate very carefully the possibilities of financial support with their potential supervisors and Heads of Academic Unit. Massey University offers a limited number of Doctoral scholarships. Competition for them is keen. The Ministry of Foreign Affairs and Trade and the Ministry of Education offers small numbers of scholarships for international candidates. There is also a wide range of modest awards available. Candidates are advised to consult the Massey University web site for Scholarships (<http://awards.massey.ac.nz/index1.htm>).

Candidates should discuss funding for their research with their potential supervisors and Heads of Academic Unit, including the possibility of applications for grants from both within and outside the University. Candidates and potential supervisors should also come to a clear understanding of what can be expected from academic unit funds.

*Candidates should not be recommended for provisional registration if their research programme is dependent on obtaining a research grant which has been applied for but not granted at the time that the application is made.*

Candidates should also discuss with their potential supervisors and Heads of Academic Unit the availability of appropriate University facilities, such as Library services, computing and statistical services, farm and laboratory services, photographic and printing services.

### ***University services***

A variety of University services are available to assist candidates and some of these are listed in Appendix II.

### **Policy on resource minima for postgraduate students**

Massey University has a policy that all Colleges will provide a minimum set of resources for postgraduate students as set out in the following Resource Minima Lists.

These lists represent the minimum resources to be provided. However, Colleges and Academic Units may provide additional resources if available and appropriate.

The following list presents the resources to be made available on campus for the research-related activities of all postgraduate students. Access to the resources is likely to be shared.

- Study space
- Toll-barred phone
- Research funds: provided that the project meets the College and/or academic unit guidelines and funding priorities, you may be eligible to apply for contestable funds
- A computer with word processing facilities
- A printer (student may be responsible for the provision of paper)
- Email and Internet (student may be responsible for user charges)
- Photocopier and fax (student may be responsible for service charges)

The following list presents the resources available on campus for the research-related activities of postgraduate students completing a thesis. Access to the resources is likely to be shared.

- Study space
- Toll-barred phone

- 
- Research funds: provided that the project meets the College and/or academic unit guidelines and funding priorities, you will be able to apply for support from contestable funds
  - A computer with word processing facilities
  - A printer (student may be responsible for the provision of paper)
  - Email and Internet
  - Fax
  - Library Interloans and photocopying subject to the maximum entitlement specified by the College, Department, Institute or School
  - A common room

## **Ethics**

Where any stage of the research programme will involve human, animal, or genetic technology studies, the appropriate ethical procedures must be followed.

The University has codes of practice and committees to advise and give approval for (1) research teaching and evaluation involving human participants, (2) research testing or teaching involving live animals, (3) research or teaching involving importation or development of low risk genetically modified organisms using recombinant DNA. Information on Codes of Ethical Conduct and application procedures for ethical approval are outlined on the individual websites which can be accessed from the Research Ethics website below:

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

In 1998 Council resolved that all staff undertaking research, teaching and evaluation involving human participants attend the seminar "Ethics 1: Undertaking Research with Human Participants", run by the National Centre for Teaching and Learning.

Council further resolved in September 2000 that from 2001, staff who do not attend this seminar will not be accredited to conduct or supervise research involving human participants. Details are on the Human Ethics website.

## **Health and safety**

Consideration of health and safety must be included in research supervision to ensure no action or inaction causes harm to the student, other students, supervisor, place of work or the environment. A hazard or risk assessment must be used to establish appropriate controls for the research work.

The hazard or risk assessment can either be completed by the student or supervisor depending on the health and safety proficiency the supervisor wishes the student to develop. However the supervisor is responsible for checking the adequacy of the assessment prior to practical work commencing.

The methodology for risk or hazard assessment will vary according to the nature of the research project. Specific methodologies have already been developed for some types of research including animal and human ethics, field trips, and research involving hazardous substances or materials that may have a biological risk.

The Health and Safety Office or Regional Health and Safety Advisor should be consulted for advice on methodologies that can be used for hazard or risk assessment. Information is also available on the Health and Safety website.

It should be noted that additional legislative or ethical controls, including prescribed training or licences, might be required for some research activities.

## **Commercial sensitivity**

Candidates whose research is funded from commercial sources should have a very clear understanding as to their obligations to the funding organisation and its obligations to them. For example, should a candidate's research findings prove commercially valuable, the candidate should not be hindered by the funding organisation from completing the requirements for the Doctoral degree.

In turn, the funding organisation must be assured of the confidentiality of such findings both before and after submission of the thesis.

In particular, the examination process, involving internal and outside examiners, must be conducted with proper confidentiality (the DRC has a Confidentiality Agreement available, which is sent to the examiners at the time of thesis submission). Furthermore, candidates have the right to embargo their completed thesis in the University library for a period of up to two years to enable them and/or the funding organisation to protect their intellectual property rights and to exploit the initial commercial advantages of the research. Please note however, that under University regulations, the abstract must still be available online, so this should be written with sufficient generality to protect the embargo. (A more detailed abstract may be supplied for examination purposes only)

Candidates are referred to the Massey University Intellectual Property Policy, and the Massey University Policy for Responsible Practice in Research and Procedures for Dealing with Allegations of Misconduct in Research, which are located on the web (<http://policyguide.massey.ac.nz/>).

### **Intellectual Property Rights**

Candidates and their supervisors should be aware that the rights in ownership of intellectual property is subject to the Massey University Intellectual Property Policy which can be found on the University Policy Guide website (<http://policyguide.massey.ac.nz/>). In situations where supervision and/or funding are provided by another organisation (e.g. a Crown Research Institute), that organisation may, as a condition of the support it provides, seek alternative arrangements for the ownership of intellectual property. Such arrangements, including the identification of Massey University's background Intellectual Property, must be fully documented in advance, normally by a contract administered by the Contracts Section, Research Management Services, of both the offer of financial support to the student and the commencement of study. In negotiating such arrangements, the University and its staff shall ensure that the reasonable rights of students are protected and shall, if possible, involve the students in the negotiations. Each student shall be required to signify in writing his/her agreement to the terms as finally negotiated. All candidates should be familiar with the Massey University policy on Intellectual Property. (<http://policyguide.massey.ac.nz/>).

### **Formal enrolment**

Candidates will be formally notified of the outcome of the application for provisional registration in writing by the GRS.

The GRS will organise the enrolment for successful applicants. Domestic candidates that are new to the University will be required to complete an Enrolment Booklet and submit evidence of residency. Once enrolled, a fees invoice will be generated and posted to the candidate. PhD candidates may enrol in course work in addition to their PhD. A maximum of an additional 30 credits over and above their PhD is permitted by the Ministry of Education. Tuition fees will be charged for course work at the domestic rate and will be over and above the tuition fees for the PhD. Enrolment in interest papers is not permitted.

**NOTE:** Although PhD provisional registration dates vary throughout the year GRS will re-enrol candidates for their Doctoral programme at the beginning of each subsequent calendar year. Fees invoices however, are generated at the anniversary of the candidate's provisional registration date, adjusted for any periods of suspension. The Ministry of Education regulations require all students studying at Massey University to provide a signed contract and declaration signifying acceptance of the university regulations for study. This has been incorporated into the DRC 2 for new PhD applicants.

### **International student visa renewal**

Students should make arrangements to renew their visa/student permit in good time prior to expiry. To do this, students should contact their campus international student support office who can advise them of the process. See appendix II page 82 for contact details.

### **Fees**

Fees vary according to the discipline. Intending New Zealand candidates should telephone 'Massey Contact' 0800 627 739 and intending overseas candidates should contact the International Office.

The New Zealand Government have approved a new Policy relating to the payment of fees by new international PhD students enrolling in a PhD degree in New Zealand for the first time after 1 January 2006. Details regarding this policy can be found on the following website <http://grs.massey.ac.nz>

Candidates with New Zealand Permanent Residents (NZPR) status, and International candidates must be domiciled in New Zealand for the duration of their candidature to be eligible for domestic fees. Although some off shore study is permitted during a candidature, the Ministry of Education do have strict guidelines that must be met for a candidate to be eligible for domestic fees. Candidates who wish to spend some time off shore should seek advice from the GRS first (see Off Campus Study page 22 for more information about studying off campus).

Fees for PhD candidates are due on initial enrolment and thereafter on the anniversary of their provisional registration, having regard for any period of suspension of their studies.

Candidates undertaking PhD programmes, whether studying full-time or part-time, or a mixture of both, shall be charged the annual tuition fee in full for up to four years. Thereafter, no further tuition fee shall be charged unless the candidate extends their candidature beyond their official thesis submission date (see clause below).

Candidates undertaking Named Doctorate programmes are required to pay their course work, practicum, internship, tuition, and thesis fees as required by each programme. The requirements are outlined in the programme information handbooks.

The following special provisions apply to all Doctoral candidates tuition fees during the year of Doctoral thesis submission, or for candidates who either withdraw from their programme or extend their candidature:

- For candidates who submit their thesis, or withdraw from their programme, within three months following the anniversary of provisional registration (adjusted for any period of suspension), the tuition fee for that year shall be refunded in full.
- For candidates who submit their thesis, or withdraw from their programme, within six months following the anniversary of provisional registration (adjusted for any period of suspension), fifty percent of the tuition fee for that year will be rebated.

- For candidates who submit their thesis, or withdraw from their programme, after six months following the anniversary of provisional registration (adjusted for any period of suspension), no refund will be made.

Candidates who have had their oral examination and are required to complete further work on their thesis and be re-examined, will be re-enrolled, and must pay the full tuition fee for the duration of the re-examination period until re-submission of the thesis. Provisions in the above clause will apply from the date that the candidate is notified of the required further work.

### **Library services**

The Library provides a wide range of resources and services in support of postgraduate research.

The Library website (link to <http://library.massey.ac.nz/>) provides access to:

- The Library for Postgraduates page (link to [http://library.massey.ac.nz/massey/research/library/the-library-for/the-library-for-postgraduates/en/the-library-for-postgraduates\\_home.cfm](http://library.massey.ac.nz/massey/research/library/the-library-for/the-library-for-postgraduates/en/the-library-for-postgraduates_home.cfm)) – all about services for postgraduate students
- The Library Catalogue (link to <http://kea.massey.ac.nz/>) to find books, journals, theses and more
- Subject Guides (link to [http://library.massey.ac.nz/massey/research/library/find-information/subject-guides/en/subject-guides\\_home.cfm](http://library.massey.ac.nz/massey/research/library/find-information/subject-guides/en/subject-guides_home.cfm)) for article databases, encyclopedias and dictionaries, and key resources in major subject areas
- Article Databases (for journal and newspaper articles, often with full text).

You can also Log in to your MyLibrary record online to check your due dates, renew your books, view your reading history and request items from the catalogue.

#### ***Need information for your research?***

Use the online resources available through the website, as well as borrowing books in print. To learn how to do this, go the How to Find section on the website – includes demonstrations.

***Need Help?***

Librarians are here to help you with any question.

***Research consultations:***

Doctoral study will require you to become familiar with the literature of your discipline and proficient in searching for information. A research consultation with a Liaison Librarian, particularly in the early stages, will help you identify the major information sources in your area. Research consultations usually take place in a campus library, but assistance can also be given by telephone, email, or online (if you have Broadband access).

To book a research consultation and for general enquiries or help contact us:

Phone: 0800 MASSEY (627739) and ask for the Library or call direct (06) 350-5670 ext 2880

Email: [library@massey.ac.nz](mailto:library@massey.ac.nz)

***Interlibrary Loan:***

To obtain books not held (or currently unavailable) at the Massey University Library, you can search the BONUS+ Catalogue (link to <http://bonus.newcastle.edu.au/>) to see if one of Massey University's Australian partner libraries is able to supply the book free of charge. To request books not held by Massey or any of the BONUS+ libraries, or to obtain other material (including journals articles and theses) you may use the InterLibrary Loan service for a fee of \$5 per item (link to [http://www.massey.ac.nz/massey/research/library/library-services/interlibrary-loan/interlibrary-loan\\_home.cfm](http://www.massey.ac.nz/massey/research/library/library-services/interlibrary-loan/interlibrary-loan_home.cfm))

***Distance Library Service:***

All doctoral students living more than half an hour's drive from any campus are eligible to receive Distance Library Service. This includes:

- Delivery of requested books by courier with free return postage (you may borrow up to 75 books at once),
- Scanning and sending of non-borrowable items (within copyright law provisions) – this includes print-only journals and portions of books that cannot be borrowed.

Doctoral students living within half an hour's drive from any campus are not eligible for the Distance Library service.

***Writing up your Thesis***

The *Guide to Presentation of Theses* is available in print or on the Library website (link to <http://library.massey.ac.nz/massey/research/library/help-and-instruction/theses/thesis-presentation-guide.cfm>)

***Prospective Doctoral Students:***

Prospective doctoral students who are not yet enrolled, but are compiling a Research Proposal in preparation for formal application to the Doctoral Research Committee, are able to borrow books and access electronic resources for a period of four months prior to formal enrolment.

You will need to provide a letter of intent from your supervisor. Further information is available on the Library's Borrowing Information page on the website <http://www.massey.ac.nz/massey/research/library/the-library-for-the-library-for-visitors/borrowing-categories.cfm>

## PROGRESSING THROUGH THE PROGRAMME

Once candidates are formally enrolled, they can begin work on their research topic and any other course-related activities. Named Doctorate candidates will commence with their course work. A close relationship between candidates and supervisors is particularly important during the early stages of the research programme.

### **Six-monthly reports**

The DRC monitors the progress of candidates through six-monthly reports. These reports are considered an extremely important channel of communication between candidates/supervisors and the DRC. In particular they provide a valuable early warning system for possible difficulties that can be attended to promptly.

The GRS will send electronic notification that the reports are due (proforma **DRC 3**) to candidates, supervisors, and Heads of Academic Units in March and September each year. The reports should be returned to the DRC within three weeks. Information is sought under several headings. The candidate is required to fill in those sections requesting a brief summary (up to 150 words) of work completed in the previous six months and a brief outline of work proposed for the next six months. Candidates should also indicate any difficulties or problems with any aspect of their progress. Supervisors complete the rest of the form including an assessment of the candidate's progress. Comments by candidates and supervisors should be informative, but specific research details need not be included. The form is designed to link research and performance criteria specified in the previous six-monthly report with delivery and achievement. As a result each six-monthly report provides a record of a candidate's past performance and establishes a record of proposed objectives to be accomplished in the following six months.

The candidate, all supervisors and the Head of Academic Unit must sign the completed report. The purpose of obtaining the candidate's signature is to ensure that the candidate has seen the completed report, including the supervisor's comments.

A candidate's signature on the report does not necessarily indicate that the candidate agrees with the supervisors' comments.

The candidate and supervisors should hold copies of the report, and the original is forwarded to the GRS.

All six-monthly reports are screened by the GRS and members of the DRC. Those reports indicating problems or otherwise requiring attention are referred to the full DRC for consideration.

The DRC will act as quickly as possible to deal with any problems. In the first instance, the respective DRC representative will contact the candidate/supervisors/Head of Academic Unit and try to bring about an early resolution of any difficulties. Early discussion of problems often prevents them from becoming more serious. That is why it is essential that candidates and supervisors are honest and informative in their six-monthly reporting. Should any particular problem become serious, the DRC can institute more formal mechanisms of investigation and resolution. Candidates should note that the retrospective raising of grievances (e.g. after examination) cannot be sustained. It is important that the University is given an opportunity to address problems in a timely manner as they occur.

These reports are retained by the GRS, and represent a useful record of both the candidate's progress, and of any concerns raised by supervisors.

### **Confirmation of registration**

The confirmation of registration (full registration) is a significant milestone in the doctoral degree process. It is the point where all the expectations initially agreed by the candidate and supervisors should be completed to the standard expected of a Doctoral degree candidate. For the PhD and DClInPsych degrees, the proformas **DRC 13.1, DRC 13.2, and DRC 13.3**, must be completed by the candidate, supervisor, and confirmation of registration committee, and the appropriate sections returned to the GRS. For the DBA and EdD degrees, proformas **DRC 13.4, DRC 13.5, DRC 13.6, and DRC 13.7** are completed.

Normally, all full-time candidates are provisionally registered for the first twelve months of their candidacy and part-time candidates for the first 18 months. For DBA and EdD candidates provisional registration is for the duration of their course work.

For PhD and DClinPsych confirmation of registration, i.e. that the candidate receive 'full' as opposed to 'provisional' registration, constitutes a series of requirements detailed in the checklist for 'Statement of Expectations' associated with provisional registration. Candidates need to have demonstrated satisfactory progress based on these previously established and agreed performance standards. These should include:-

- a) Knowledge of the literature of the field and an ability to write a literature review.
- b) An ability to design and interpret research tasks.
- c) An ability to interpret data and write up material.
- d) A demonstration of any other abilities required in the field of study.
- e) Satisfactory completion of any required course work to a specified standard.

Supervisors must give serious consideration to these matters. It is in the best interests of candidates, supervisors and academic units that every effort is made to develop and enhance the candidate's progress during the provisional registration period when there is potentially a steep learning curve. To this end, academic units are encouraged to have their own graduate studies committees to help to ensure that candidates are making satisfactory progress by, for example, having candidate's present seminars in their academic unit, and otherwise reviewing a candidate's academic development. In general, candidates should be involved in the intellectual (and social) culture of an academic unit.

For the DBA and EdD doctorate candidates, a candidate will be required to maintain a B+ grade for each component of the structured programme (i.e. course work), including successful completion of an oral defence, as a prerequisite to registration for the thesis. Approval to proceed with the thesis will be given by the DRC on a case by case basis. For the DClinPsych doctoral candidates, a candidate will be required to maintain a B+ average for papers 175.835 and 175.920, and also achieve the required standards and have made satisfactory progress with the thesis component of the programme as outlined in their 'Statement of Expectations'.

For PhD and DClinPsych candidates the confirmation of registration process is managed as follows:

- The Head of Academic Unit (or nominee) in which the supervisor is located assumes responsibility for managing the confirmation process.
- The confirmation event should take place no later than one month from the due date provided by the GRS.
- A confirmation committee is established by the Head of Academic Unit (or nominee) comprising:
  - Head of Academic Unit (or nominee);
  - A person who is knowledgeable about the discipline, but has not been directly involved in the project, and who is an experienced doctoral supervisor (may or may not be a member of University staff);
  - The candidate's supervisor;
  - The candidate's co-supervisor(s).
- The candidate will prepare a confirmation of registration proforma (**DRC 13.1**) and forward it to the GRS.
- The supervisor will prepare a confirmation of registration proforma (**DRC 13.2**) and forward it to the GRS, as well as distribute a copy to each of the confirmation committee panel before the event.
- The candidate will prepare a proposal of 3,000 to 10,000 words to be made available to the confirmation committee at least one week before the oral presentation. The content and structure will vary across disciplines but should include:
  - a) a concise statement of the research questions(s)/aims,
  - b) a critical summary and analysis of relevant literature,
  - c) an explanation of the conceptual framework to be used and/or summary of discipline of study,
  - d) a summary of progress to date including preliminary data and resources developed,
  - e) an argument for the relevance and importance of the study,
  - f) proposed schedule and timeline for the phases of the study, based on date of submission,
  - g) a brief bibliography, and
  - h) a list of publications produced or presentations made during provisional registration.

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- The candidate will present their work at a 20 to 30 minute seminar followed by questions and discussion. Academic Unit staff and postgraduates would normally be invited to the presentation. Other interested staff from other disciplines, and where appropriate persons external to the University, should also be invited.
  - Following the presentation the candidate will meet with the confirmation committee to discuss details of the research, and explore any issues and concerns.
  - A committee confirmation report is completed (**DRC 13.3**) and forwarded to the GRS. The report will include a recommendation from the committee to either, confirm the candidate into full registration, defer the candidate's registration by up to six months, or terminate the candidate's registration.

Confirmation of registration for DBA and EdD candidates follow a similar process as stated above but instead the programme Director/Co-coordinator is responsible for co-ordinating the process rather than the Head of Academic Unit. Also the proformas completed are **DRC 13.4, DRC 13.5, DRC 13.6, and DRC 13.7.**

In considering the confirmation committee assessment and recommendation, the DRC may grant full registration (to take effect on the anniversary of the candidate's provisional registration), require that full registration be delayed, or terminate the candidate's Doctoral studies. Full time and part time candidates may have the opportunity of up to six months deferral.

A deferral can be recommended for any period of time as long as it does not exceed 6 months from the original due date. Also, if the reason for the deferral is to complete a small piece of work only, the confirmation committee can subsequently confirm a candidate's registration without the candidate having to repeat all, or some, of the tasks outlined above. For PhD and DClinPsych candidates, if registration is not confirmed within eighteen months from provisional registration for full time candidates, and within two years from provisional registration for part time candidates, their candidature will be terminated. For DBA and EdD candidates deferral will only be approved for one six month period following their oral defence.

The DRC have the right to terminate a candidate from Doctoral study at any time if it considers that the candidate is not performing satisfactorily. A candidate's progress during full registration continues to be monitored by six-monthly reports to the DRC.

### **Reconsideration of course work for the Named Doctorate**

In certain circumstances candidates may seek a reconsideration of a grade received for an assignment or a final grade for a paper, where the results are clearly at odds with expectations.

The procedure for reconsidering an assignment grade or final grade for a paper is set out below. It should be noted that the responsibility for making the case to have an assignment reconsidered rests with the candidate in the first instance. Substantive grounds must be demonstrated upon which a reconsideration is justifiable and it is the responsibility of the candidate to clearly set out those grounds.

Grounds, which would normally be acceptable, would include ambiguity in the task requirement, an unclear task and, clear inconsistency between the task requirement and the comments of the lecturer. Dissatisfaction with a particular grade is not, in itself, a ground for requesting a reconsideration. The following procedure for reconsideration will apply:

- The candidate seeking a review sets out in writing their justification for the reconsideration and sends this to the Director/Co-coordinator of the programme.
- The request must be acceptable to the Director/Co-coordinator as presenting reasonable grounds for review.
- The Director/Co-coordinator may require the lecturer to conduct a reconsideration of the assignment or final paper grade.
- The lecturer may re-assess up, down, or make no change, giving reasons in each case.
- The Director/Co-coordinator may, in cases where no clear result is produced, request a third party to conduct an independent assessment. The third party recommendation will be binding on all parties.

Candidates will be permitted to resubmit an assignment for reconsideration only once.

Candidates who are waiting for a reconsideration of a final paper grade may proceed with concurrent study in one further Doctoral paper.

Candidates, who fail to achieve a B+ grade or better in a paper, even after a reconsideration process has been completed, may re-enrol in the paper once in order to obtain a B+ grade or better. Tuition fees will need to be paid. Failure to obtain this grade level will result in the candidate's registration in the doctoral degree being terminated by the DRC.

Candidates in this situation should consult with the Director/Co-coordinator of the programme to determine to which alternative postgraduate qualification they may be able to transfer the paper(s) that they have passed.

### **Supervisor-candidate responsibilities and relationships**

An effective supervisor-candidate relationship is central to successful Doctoral study. Both supervisors and candidates have a mutual responsibility to develop a close professional relationship. This relationship is a complex one. Ideally, the supervisors and candidate need to form a co-operative partnership whereby each is variously responsible to the other while encouraging the growth of a candidate's intellectual independence. The quality of Doctoral research is greatly enhanced through an effective collaborative relationship.

It is important to acknowledge from the beginning, that to develop such a relationship requires mutual goodwill and very considerable effort. The processes of advanced research and the interplay of personalities can sometimes be problematic.

The production of knowledge ultimately involves complex social processes that may involve, for example, issues of power relationships (including gender and culture) between the individual and society, the individual and the institution, the candidate and supervisors.

It is better to recognise the possibility of such difficulties and to talk about them openly and honestly if they do affect the supervisor-candidate relationship, rather than try to pretend a problem does not exist.

***Supervisors' responsibilities***

Supervisors have a complex role to play. In general they have to oversee and enhance the intellectual development of the candidate, as well as fulfil the range of administrative duties required as the candidate progresses from provisional registration through to examination. Some of the main features of successful supervision are:-

- Only accept candidates in subject areas where appropriate academic expertise and knowledge exists, and where appropriate, with adequate funding to support the student and the project.
- Do not accept more doctoral candidates at one time than can be effectively supervised. This must be decided between the Head of Academic Unit and the prospective supervisor and must take cognisance of the University work load policies.
- Ensure the candidate is familiar with and understands any legal, professional, ethical and safety issues that might concern the project.
- Give guidance about the following:
  - the nature of the research and the standard expected;
  - planning the research programme, literature and sources;
  - resources and their availability;
  - specific techniques (as appropriate and including arranging for instruction where necessary).
- Bring relevant policies, practices and procedures to the student's attention; provide guidance on these and direct students to attend relevant workshops and seminars.
- It is the duty of Supervisors to ensure that researchers under their jurisdiction are aware of the Policy on Responsible Research Conduct and associated Code of Procedures. Policies can be found on <http://policyguide.massey.ac.nz>
- Supervisors must be aware of the Code of Practice for Pastoral Care of International Students. The policy can be found on website <http://www.minedu.govt.nz/~media/MinEdu/Files/EducationSectors/InternationalEducation/ProvidersOfIntEd/CodeOfPractice2010.pdf>
- Develop a 'contract' with the candidate (Statement of Expectations, DRC 2) at the beginning of the doctorate, itemising responsibilities, expectations and outcomes from the doctoral journey.

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- Organise and maintain a regular communication schedule with the candidate, including meetings with the co-supervisors.
  - Keep written notes of all meetings held with the candidate and ensure clear written instructions are given to the candidate of the meeting outcome.
  - Ensure all Doctoral proformas are completed in a timely manner, in particular six monthly reports. Ensure that the candidate's progress is satisfactory, that any problems being experienced (if any) are resolved, and that the candidate is meeting the objectives; these aspects should be accurately documented in each six monthly reporting period.
  - Ensure that feedback on draft material is given to the candidate in a timely fashion.

NOTE: All new staff members eligible to supervise Doctoral candidates are required to attend an induction programme on Doctoral supervision which is run by the GRS.

#### ***Co-supervisors responsibilities***

Co-supervisors have a very important role to play in the Doctoral process at Massey University. While the supervisor must assume ultimate responsibility for supervision, it is essential that the second and any other supervisors are closely involved with the candidate. Such supervisors may be on the supervisory panel because of specialist expertise (e.g. statistics or experimental design); while in other cases they may be complementary to the supervisor in having similar research interests.

All supervisors should be involved in regular communication with candidates if at all possible. Where another supervisor is at a distance, written reports of meetings with the candidate are desirable.

During the write up stage, co-supervisors are expected to review the entire thesis, and to provide comments to the candidate via the supervisor.

#### ***Examples of good practice***

Each supervisor will have an individual approach to the specific responsibilities within their role. However the following are some examples of good practice used by academic staff that may be useful guidelines for potential supervisors.

- Introduce the candidate to other experts in the research area, either within or outside the Academic Unit as appropriate and encourage networking.
- As part of good practice it is suggested that written records are kept of significant outcomes from regular structured meetings. This is particularly important where candidates are having problems. These should be identified and steps taken to rectify them noted and agreed to by both candidate and supervisors.
- Provide regular and consistent support for the candidate through the doctoral study, being a primary source of guidance in all matters of sound research practice, providing full and informative feedback to candidates on their progress in a timely manner.
- Assist the candidate to develop intellectual skills appropriate for the field of study, such as adequate experimental/research techniques/approaches, statistical competence, ability to critique other published work, oral and written communication skills. If necessary introduce the student to appropriate Student Support Services within the university.
- Identify any candidate deficiencies and implement remedial action in a timely and appropriate manner.
- Ensure that, to the best of their knowledge, work submitted is that of the candidate, and that all data provided as part of the work have been validated.
- Contribute to the provision of a supportive research environment in the Academic Unit, College and the University.
- Encourage open communication with candidates and co-supervisors.
- Assist candidates to integrate into the Academic Unit research and social culture.
- Encourage candidates to make seminar/conference presentations, to publish independently, or be involved in joint publications.
- Develop an ethos of expectation of timely completion.
- Where appropriate, supervisors should ensure completion of progress and final reports for commercial sponsors and sort out potential difficulties between academic and commercial objectives associated.

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- Act wisely and decisively in dealing with any actual or potential problems; seek advice where appropriate from experienced colleagues; if unsure then contact the Graduate Research School.
  - Act professionally ensuring the dignity of the student at all times.
  - Timely and successful completion of research degrees makes a significant contribution to the enhancement of the quality and responsibilities of research outputs and the reputation of Massey University as a university of international standing.

***Candidates' responsibilities***

It is important that candidates play an active role in the supervisor-candidate relationship. While candidates are expected to accept advice and guidance from their supervisors, they are not expected to work as 'technicians' for their supervisors.

Candidates should constantly work towards their own intellectual independence from within a supportive relationship with their supervisors. The following are some factors which can contribute to successful Doctoral candidacy:-

- Being a full-time candidate with few or no employment responsibilities.
- Being committed to the research project.
- Taking initiatives to find out from staff and others about life and prospects as a Doctoral candidate.
- Getting off to a good start.
- Maintaining regular and frequent contact with supervisors.
- Seeking and accepting advice from supervisors and others.
- Being familiar with policies and guidelines relevant to the Doctoral programme and research activities, including the Policy on Responsible Research Conduct and associated codes and practices. Policies can be found on <http://policyguide.massey.ac.nz>

- Being prepared to acknowledge and discuss any academic or personal difficulties.
- Being well organised and capable of setting and meeting deadlines according to a work schedule.
- Always being clear as to the overall aim of the research and of the intermediate goals along the way.
- Starting to write early and continuing to write throughout the programme.
- Regularly providing supervisors with written reports on progress and future plans.
- Presenting seminars and otherwise participating in the intellectual life of the academic unit.
- Establishing professional and social links with other academic staff and other candidates.
- Attending conferences and presenting papers.
- Publishing during candidacy, where appropriate.

In general terms, it is critical that candidates and supervisors meet frequently, that each understands how the other views the candidate's progress, and that there is a mutually co-operative professional academic partnership.

Supervisors and candidates need to determine for themselves the actual mechanics of their working relationship. There are no fixed rules but rather there is a range of practice. At one end of the spectrum candidates and supervisors can have a very friendly and informal relationship. At the other end the various responsibilities of candidate and supervisor can be determined by mutually agreed formal written contract. Much depends on the personalities of candidate and supervisor, the size and 'character' of the Academic Unit, and the nature of the research project. How candidates and supervisors are to relate to each other should be discussed carefully at the very beginning.

It is critical that both candidates and supervisors understand what each expects of the other and how they will conduct business with each other.

It is also important that supervisor and candidate accept the evolutionary nature of a successful relationship, from a high degree of candidate's dependence initially to a high degree of independence later on.

In effect, the nature of supervision should change as the candidate's research progresses through the four basic stages of Doctoral thesis writing - planning/conceptualising of a project, data collection generation and interpretation, writing/articulation, final production and submission (see **The Doctoral experience** page 48).

#### ***Change of supervisor(s)***

Because of the importance of the supervisor-candidate relationship, the DRC must be informed of any circumstances that may affect the supervision. The most common example is when the supervisor goes on extended leave (and, much less commonly, when a supervisor suffers ill health, resigns or retires). In such cases another supervisor must be recommended to the DRC. At all times candidates must have an approved supervisor from whom they can obtain assistance. In the above cases, candidates should, if possible, be informed at the beginning of their candidacy if a supervisor plans to be on sabbatical or other extended leave or if resignation or retirement is likely during the proposed period of candidacy. The other less common reason for changing supervisors is when the nature of the candidate's research changes direction and someone with more appropriate expertise needs to become involved as a supervisor. This may involve a change in topic and possibly withdrawal from the existing programme and re-enrolling in a new programme. In many cases, though, new supervisors can (with DRC approval) simply be added to the existing supervisory team. In the event of an unsatisfactory relationship developing between the candidate and supervisor a case can be made to the DRC for a change of supervision. Such changes are not common and are made only after careful consideration. If there is any supervision change, proforma **DRC 14** must be completed by the candidate. If the main supervisor is also the Head of Academic Unit, the DRC 14 form must be certified by either the Head's line manager or the Unit's postgraduate co-ordinator instead.

## **The Doctoral experience**

Doctoral study is a unique experience. Never before, or subsequently, in their lives will most candidates have such an opportunity for single-minded devotion to one research project for several years. It is usually a time of very considerable academic and personal growth.

On the academic side, candidates normally develop a range of technical, critical, and conceptual skills that, in broad terms, generally follow a four stage process:-

- Finding a topic and planning/conceptualising a project. This includes reading and understanding of relevant background literature, deciding upon issues and arguments, and establishing hypotheses and questions.
- Collection/generation of all data and its analysis. This includes the refining of research strategies and goals, the accumulation of research information/results, and its analysis i.e. what does this material mean in the context of the research goals? Do these goals or strategies need to be revised or modified in the light of research findings?
- Interpretation/writing/articulation. This process involves communicating research findings and their significance to a wider audience. The more early feedback is obtained from supervisors and others on chapter drafts, the better. The time needed for this process should not be underestimated.
- Final production and submission. Since this generally is the only tangible result of a Doctoral research project, and since it remains as a reference item in the Library and elsewhere, it is important that the thesis looks and reads as well as it can.

Throughout all these stages candidates should be working to develop their intellectual independence in order to develop a contribution to knowledge, and an awareness of the significance of that knowledge, which is the essence of a completed Doctoral project. This independence is not an aggressive self-centredness, but rather a growing intellectual maturity within a supportive supervisory framework.

At a more personal level, the Doctoral experience is not without potential pitfalls along the way. Candidates should realise that research carried out over a period of years is bound to produce at least some periods of gloom and disappointment. Indeed it is quite normal to experience a series of emotional peaks and troughs throughout the process. Part of a candidate's intellectual growth is to be able to recognise the normality of mood cycles and try to manage them objectively.

If progress is not good it is important to try to work out why. Is it just a passing phase, or is there something that requires attention? Candidates should never hesitate to seek advice, whether it is personal or academic. The recognition that something is wrong, and the resolution to do something about it, is a critical first step in managing the problem (see **Dealing with problems** below, page 49). Candidates who either refuse to accept that there is a problem or who do nothing to try to sort it out invariably make the issue harder to resolve by the time it becomes apparent to others.

Doctoral study can be a lonely experience. Some candidates like this, many do not. Thus it is important that candidates meet and talk with other candidates. It is often comforting to find that personal and/or academic worries are very commonly shared by others. There are a number of formal and informal support and social groups for postgraduate students on campus. Candidates should make efforts also to get to know staff and other students in their Academic Units. Supervisors and Academic Units should make every effort to incorporate candidates socially within their culture.

### **Dealing with problems**

The University Doctoral programmes have many options for assistance specifically for Doctoral candidates. Candidates are in fact encouraged to see the Doctoral programme as being candidate-centred, i.e. all candidates have about them layers of support where they can obtain advice or assistance.

In the first instance, candidates can talk to their supervisors, other Academic Unit staff members, or the Head of the Unit. Candidates, for a variety of reasons, may wish to talk to their DRC college representative or one of the Doctoral student representatives on the DRC for informal advice.

Women candidates may wish to contact women members and indeed, all candidates are free to contact any member of the DRC or GRS. The Dean or Manager of the GRS are available to give independent, confidential advice, should this be appropriate. The key step for candidates, however, is to take early steps to get advice or assistance. In practice most problems can be sorted out amicably and quickly if they are brought to notice early. The general policy followed by the DRC is to resolve issues through informal consultation and negotiation or mediation. More formal inquiry and resolution by the DRC is only used for more difficult cases.

At all times the DRC recognises the rights of both candidates and supervisors and the particular difficulties a candidate may have in any dispute, and will act to redress problems that can occur because of the potentially vulnerable position a candidate may occupy. The DRC may, if necessary, offer advice or direction to supervisors or Heads of Academic Units as a result of its inquiry, and may negotiate a change of supervision.

Candidates seeking help of a personal nature may wish to contact the Student Counselling Service. This service operates on the Auckland, Palmerston North and Wellington campuses to assist students who may be experiencing personal or psychological problems, study difficulties, family concerns or problems with career planning and assessment. All matters are treated as confidential and information to any other person (even a supervisor) is only given with a student's agreement and consent.

The Student Health Service, which also operates on the Auckland, Palmerston North and Wellington campuses, provides all medical services including advice on health maintenance. An after-hours (before 9 a.m. and after 5 p.m.) service is also provided. Contact numbers for the Counselling and Health services are available in the university telephone directory or see Appendix II.

### **Suspension**

If a candidate is prevented from undertaking Doctoral work for an extended period (months rather than days) due to illness or unforeseen domestic/personal circumstances, the DRC may approve a suspension of the candidate's registration for such a period as it considers appropriate.

The effect of such a suspension is to 'stop the clock' for candidates so that they are not penalised in terms of the time requirements for completion.

Two points are particularly important. Firstly, students must be aware that, during a period of suspension, scholarship support and/or student allowance is also suspended. Secondly, a student cannot work on the research programme or on thesis preparation during the period of suspension. A candidate is not entitled to supervision or the use of any university resources during a period of suspension.

Domestic students receiving financial assistance from StudyLink need to be aware that a suspension of their enrolment may affect their eligibility to access either Student Loans and/or Allowances. Students are contractually obliged to advise StudyLink of changes in their enrolment status so that their loan and/or allowance application(s) can be reassessed. If you have made a change or are thinking about making a change, and require confirmation of any possible ramifications this may have, please contact the Finance Officer, Massey University Campus Information Services, ext 7591.

A request for a suspension can be made by the candidate by completing proforma **DRC 11** which must be signed by the candidate's supervisor. It is possible to ask for a suspension in retrospect, e.g. if an anticipated short illness turns out to be a longer one. A suspension request due to ill health must be supported by a medical certificate from a general practitioner or specialist.

The maximum period of total suspensions that will be approved is one year full time equivalent.

Candidates enrolled in the Doctor of Clinical Psychology programme who wish to suspend their studies for one year or more, will only have their application approved in exceptional circumstances. Before applying to the DRC for a suspension, candidates first need to gain permission from the Director of Clinical Training. Suspensions beyond one year will require formal withdrawal from the programme.

## Extension

### *Compensatory Extension*

A “Compensatory Extension” should be applied for when a candidate has continued to work on his/her programme but has lost time due to a justifiable cause (personal, work commitments, problems in the research programme, etc.). Compensatory extensions should be applied for and granted at that time, or at the end of that current six-monthly report period, and not at the end of the programme.

NOTE: It is possible for a candidate to be granted more than one compensatory extension. Applications can be made by the candidate completing proforma **DRC 11** which must be signed by the candidate’s supervisor.

### *Extension*

If candidates cannot complete their thesis within the relevant time limit (four years full-time and six years part-time) it is possible to apply to the DRC for an extension of time. Such applications are considered on their merits, but in general an extension is normally granted only when the thesis is near completion and more time is required for its physical preparation and presentation. An extension is granted only when there is certainty that the thesis can be completed if some more time is allocated. An extension is not granted in cases where basic research still remains to be done, or where the candidate has a history of slow progress.

There is no set maximum length of time that can be applied for, but it would normally be up to the equivalent of six months full time study.

Candidates and supervisors should however be aware that an extension period beyond a total of twelve months full time equivalent (compensatory and final inclusive) will not be approved and the DRC normally sets a much shorter period depending on the case.

A request can be made by the candidate by completing proforma **DRC 11** which must be signed by the candidate’s supervisor.

NOTE: Compensatory extensions and extensions will incur additional fees (see **Fees** page 30).

## **Termination or Withdrawal**

Termination and withdrawal have quite different meanings. It is important the differences are clearly understood. Essentially 'Termination' is normally used in cases where the candidate has demonstrated unsatisfactory performance, or has not made contact with their supervisor(s) for a lengthy period of time. A Termination is recorded on the candidate's academic record, and the candidate will not normally be permitted to re-enrol for Doctoral study at Massey University.

The procedure for Termination of registration on the grounds of unsatisfactory performance is as follows:

The DRC will discuss the matter with the supervisor and the other co-supervisor(s). Should the DRC formally resolve that the registration be terminated, the candidate and supervisor will be informed in writing.

'Withdrawal' from the programme is normally voluntary and a candidate may request a withdrawal from the Doctoral degree at any time. The candidate may apply to re-enrol subsequently in a another Doctoral programme as long as they meet the current conditions of candidacy outlined in the current Handbook for Doctoral Study and Doctoral regulations.

**NOTE:** In situations involving Withdrawal the candidate is required to complete proforma **DRC 15** 'Notification of withdrawal From Doctoral Study'.

The procedure for Termination of registration on the grounds of unsatisfactory performance is as follows:

The DRC will discuss the matter with the supervisor and other co-supervisor(s). Should the DRC formally resolve that the registration be terminated, it shall inform the candidate and supervisor of its decision in writing.

## **Exit Qualifications for candidates who withdraw from a Named Doctorate Qualification**

The following are reasons for a Named Doctorate candidate to withdraw from the degree:

1. Candidates are required to withdraw when they have not achieved the academic performance standards (APS) in the course work to achieve full registration, but they may have achieved a pass in the course work in the range of grades C to B, or;
2. Candidates may wish to withdraw for personal or other reasons even though they have met the APS in all course work taken up to the point of withdrawal.

Candidates enrolled in the DBA will be eligible to apply to the College Academic Director for the award of the Master of Management degree. Candidates enrolled in the EdD will be eligible to apply to the Graduate School of Education for the award of the Postgraduate Diploma in Education.

DBA and EdD candidates who withdraw from the programme prior to successfully completing and passing all the course work, should enquire with their respective College to establish whether they are eligible for an alternative qualification.

DBA and EdD candidates who pass all the course work components but fail their thesis, can apply for the exit qualifications as noted above. A failed result will remain on their DBA or EdD record.

In the event that a student has withdrawn from the DBA or EdD and who have taken out an exit qualification (with grades not less than B+ in any paper), later wishes to re-enter the Named Doctorate, that student would be required to surrender the exit qualification as a condition of re-entry in the programme. Approval for re-entry is subject to DRC approval.

Candidates enrolled in the DClinPsych are able to apply for specific exit qualifications. Due to the nature of the programme some exit qualifications do not enable graduates to practice as Clinical Psychologists.

Candidates can apply for an exit qualification under the following conditions:

- If a candidate has passed the course work and internship but submits the thesis for examination and subsequently fails, the candidate can apply for the Postgraduate Diploma in Clinical Psychology.

The Diploma will be awarded subject to the candidate's thesis being downgraded to a Masterate, or reworked for submission for the award of a Masterate where the candidate does not already have a Masters degree. The Doctor of Clinical Psychology result will show as failed.

- If a candidate has passed their course work and thesis, but fails the internship, the candidate can apply to the DRC to transfer their thesis component to a PhD or apply to the College to transfer it to a Masterate. The thesis can then be re-worked for submission for either the PhD or Masterate. The Doctor of Clinical Psychology result will show as failed. The candidate will not be eligible for the Postgraduate Diploma in Clinical Psychology.
- If a candidate withdraws from their thesis before it is submitted for examination, or withdraws from their internship component before final assessment has started, they may be eligible for the exit qualifications as stated above. In both cases, the candidate's Doctor of Clinical Psychology result will be noted as withdrawn.

### **Guidelines for re-registration or transfer from another university**

Where a Doctoral candidate withdraws without prejudice from a programme at Massey University and later wishes to re-enrol with some credit for previous research, or a Doctoral candidate seeks transfer from another University, the following will apply (credit to the named Doctorates from other Doctoral programmes will not normally be permitted, but applications for credits will be considered case by case);

1. A candidate applying to transfer from another University must meet the entry requirements for the Doctoral degree at Massey University.
2. Up to twelve months full-time (or the equivalent part-time) credit towards a Doctorate at Massey University may be granted by the DRC upon receipt of a written request to the GRS from the proposed supervisor.
3. The originality of the previous research must be validated by the former supervisor (or equivalent) as being conducted satisfactorily as part of a Doctoral programme and as not having been used for another academic qualification.

4. The research must be confirmed in writing by the proposed supervisor as being current, relevant and of Doctoral standard, and appropriate to the proposed topic of research at Massey University.
5. The normal Provisional Registration formalities must be met satisfactorily.
6. The 'Confirmation of Registration' requirements must be met before full registration is granted. Full Registration will normally be considered after twelve months Provisional Registration for full time candidates and 18 months for part time candidates, from commencement of studies at Massey University. The DRC reserve the right to waive the 'Confirmation of Registration' requirements for candidates who have already met the full registration requirements in their previous enrolment.

#### ***Evidence of achievement and skills***

Evidence of research achievements and required skills relevant to the candidate's discipline will vary. Information such as the following should be used to substantiate the case:

- a) Evidence of consistent quality research and scholastic achievement, including completion of work by agreed times during previous Doctoral registration. Copies of research progress reports, or results of any course work undertaken during previous Doctoral registration can be used to help demonstrate performance.
- b) Presentation of research results at national or international conferences or symposia.
- c) Significant progress with literature review.
- d) Significant progress with data collection and analysis.
- e) A brief summary of results to date (no more than 5 pages) which should show significant progress with drafts of papers or other forms of research presentation (e.g. performance, exhibition or film).
- f) A brief outline of future work to be undertaken.

#### ***Application process***

Applications for re-registration, or transfer from another university will be prepared by the proposed Doctoral supervisor, for the GRS. Applications will be accompanied by a completed **DRC 2** Provisional Registration application, together with evidence of any course work results and specific criteria as outlined in this section.

**Protocol for staff wishing to undertake Doctoral study at another university**

Staff contemplating enrolling for Doctoral study at other universities should submit their programme to the Pro-Vice Chancellor of their College with the support of the Head of their Academic Unit. Newly appointed academic staff who are already part way through a Doctoral programme at another university, may apply to the DRC to transfer their registration to Massey University (see Policy for Re-registration or Transfer from another University above). Alternatively, when it is not practical for them to transfer their registration to Massey University, approval may be granted by the Pro-Vice Chancellor of their College to continue their study at another University. Budget centre managers may agree to meet some or all of the fees for approved study at another University from their own budget provided that such fees are not a charge against a PIA budget unless the staff member is paid from that budget.

## THE THESIS

### Planning and Writing

Writing a thesis is a creative process. Thus its nature and progress can depend very much on the candidate and the subject matter. However a few general principles should be kept in mind:-

- An overall plan for the thesis should be compiled as early as possible and discussed with supervisors. A plan should not be binding but should be discussed and modified where necessary as research and analysis proceed. It is a good idea for candidates to have a draft outline plan together with a timetable pinned on a notice board in front of them so that they are regularly reminded of where they are and of their immediate goals.
- For creative arts disciplines where the thesis may take the form of creative works and a written component, the candidate should discuss with their supervisors the form and presentation of the thesis including the proportion to be presented as creative works and the proportion to be presented as a written component. Normally the creative work component will not constitute more than 70% of the thesis. The creative work and written component must be presented as an integrated coherent whole.
- As mentioned earlier, candidates and supervisors should fully discuss both safety and ethical issues in early planning stages, and take appropriate measures which may involve seeking advice and approval from the relevant University ethical and/or safety committees.
- Key technical issues should also be addressed in early planning stages. For example, criticism of statistical analysis is common among external examiners' reports. The candidate should ensure that adequate statistical planning for the project is undertaken early in the project. Advice may be sought from supervisors or from other academic staff. The GRS website offers information regarding a consultancy service for research students on all three campuses.

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Time spent with these people should lead to a sound experimental design with data capable of being analysed according to statistical procedures appropriate for the discipline.

- Writing should commence as soon as possible. Even starting with very rough notes for paragraphs or chapters can develop confidence early. Thesis writing does not necessarily have to start with chapter one. Most candidates find it best to write the easiest sections or chapters first, since this encourages a sense of progress and achievement. It is common for conclusions and introductions to be written last, when candidates have a thorough awareness of the purpose and implications of their research. Bibliographies and/or references should not be left to do last. With current word processing software, these can be compiled and revised regularly as the reading and research progresses.
- Candidates should do all their writing on a computer word processor. If they have had no previous experience they should arrange with their supervisor to have appropriate instruction. *Great care must be taken at all times to protect every computer file with multiple backup copies not all stored at the same location. It is also a good idea to make periodic hard copies (printouts) of your work.* Research data, notes and chapter drafts may represent several years of intense effort by the candidate and may be impossible to recreate if they are lost through some electronic, technical or other misfortune.
- Draft sections or chapters should be discussed with supervisors as early as possible. Supervisors have a duty to examine these carefully and critically and return them promptly. Candidates have a right to have considered feedback on whatever they show their supervisors.
- Supervisors should see chapters at every stage, from rough notes, to early drafts, to revised drafts, to the final version. Supervisors should also see drafts of the whole thesis as soon as possible. While they may have commented on individual chapters shown to them at different times, they may also suggest revisions when all the chapters are seen together in the context of the whole thesis.

- It is extremely unwise for candidates to submit a thesis or parts of a thesis for examination that have not been seen and approved, in its final form, by the supervisor.
- In some disciplines, candidates are encouraged to publish the results of their research before their thesis is completed. Publication practice varies widely between Academic Units. Candidates should discuss publishing matters with their supervisors and there should be a clear understanding about issues such as authorship, choice of journal and timing of publication. Where both supervisor(s) and candidate are co-authors each has the right to expect that such publications will not be excessively delayed. The candidate must indicate in the thesis which parts of it have been published. (See 'Submission of a thesis based on publications' on page 63 for more information).

### **Presentation**

Candidates are expected to take full responsibility for the totality of their thesis, including stylistic and grammatical aspects as well as the substance of the research. Problems in any of these areas should be addressed early to ensure that the completed thesis provides evidence of candidates' ability not only to carry out independent research, but to convey results to others in a scholarly and comprehensible manner in the official languages of Massey University (English and Maori). The final version of the thesis should represent the candidate's ability to present their research findings. Professional editing is therefore not permitted.

It is expected that a Doctoral thesis will be of very high quality. It is important that time for careful presentation and proof-reading is built into a candidate's overall timetable. It is possible to ruin years of hard work with a hurried and poorly produced thesis. The following information is relevant:-

- Massey University Library can supply a document entitled 'Guide to Preparation of Theses' which gives a range of technical advice. This is available at each Campus Library and also on the Library website (<http://library.massey.ac.nz/massey/research/library/help-and-nstruction/theses/thesis-presentation-guide.cfm>).

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Candidates should, in general, adopt the scholarly conventions of presentation according to their particular subject or discipline. Indeed early in their studies candidates should look at a number of Doctoral theses from the relevant Academic Unit or discipline to become familiar with what is required.

- All matters of style, such as referencing and bibliographic convention, should be fully discussed with supervisors as early as possible. It is most unwise to leave this until late in the programme.
- Succinctness is important. Examiners are not impressed by the length of a thesis but by its content and contribution. A lengthy introduction and bibliography do not prove that the candidate has thought deeply about the subject. A single moderate-sized volume is normally quite sufficient. The PhD regulations state that the maximum word limit is 100,000 words excluding appendices and bibliography, but in some disciplines it can be much less. For a PhD in Music which includes major components of composition and/or or performance, the thesis will not exceed 60,000 words, excluding appendices and bibliography. The word limit for Named Doctorates is 65,000 words, excluding appendices and bibliography. Figures and tables in the thesis should be taken as the equivalent of 250 words per page. All these matters should be clarified with supervisors at the beginning of the candidacy.
- Particular care must be taken with grammar and spelling. Examiners will require a thesis to be revised and corrected if it contains poor expression, spelling mistakes and typographical errors. Candidate's who have difficulty with such matters, for example those for whom English is not a first language, should seek assistance. Word processing, spelling and grammar checkers should also be used.
- Where appropriate and possible, raw data on which research is based should be included in the thesis, usually in appendices. Where data are extensive, a portable storage device may be used.
- Original scientific data generated by Doctoral research should be retained in durable and appropriately referenced form and kept in a safe place for a period of at least five years after the

completion of the project. All such data must be available for independent analysis by supervisors, examiners, or other scientific researchers.

- All theses must have an abstract of no more than 350 words bound into the thesis at the beginning.
- There should be a clear statement under 'acknowledgements' indicating the extent to which the candidate has had assistance with the project.
- The Doctoral thesis should be printed by word processor or similar device. The thesis can be printed as single sided pages or double sided pages. A handwritten manuscript is not permissible.
- The Doctoral thesis may be submitted in final hard bound form or in a temporary but securely bound form (hot melt or spiral). The DRC does not permit theses to be submitted in an unbound state.

### **Plagiarism**

The DRC expects candidates to adhere to accepted international standards of research, with proper acknowledgement of assistance and collaboration, and to make appropriate references to all sources of information. Failure to properly acknowledge and reference the work of others constitutes plagiarism. Massey University treats plagiarism and research misconduct very seriously. Candidates found guilty of these activities may have their candidature terminated or be failed in the doctoral examination. If you have any doubts about what constitutes plagiarism or research misconduct please seek advice from your supervisors or learning services. It is essential that you are familiar with the Massey University policy on Research Practice and the Code of Responsible Research Conduct and Procedures for Dealing with Misconduct in Research. Both policies can be accessed on <http://policyguide.massey.ac.nz>

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## Submission of a thesis based on publications

The publication of papers during candidacy can be highly advantageous. Massey University allows the submission of theses based upon published research (or research accepted for publication), providing it conforms to the following:

- The research must have been conducted during the period of candidature (this stems from CUAP requirements, and it has implications for funding).
- The candidate may be the sole author of the publication(s), **OR**, where the candidate was a joint author, the research contributed by the candidate is normally expected to be in the capacity of primary author. The contribution of the candidate to jointly authored chapters must be clearly documented by a statement signed by the supervisor and candidate and bound into the thesis. To protect the interest of candidates, it is important that authorship is discussed at an early stage of candidacy, ideally with the involvement of an independent party.
- Published material may be submitted for examination once only and by one doctoral candidate, so where team research is involved, it is important to clarify roles at an early stage. Where material submitted for publication or examination by another candidate is critical to understanding the thesis, it may be included in a non-examinable appendix with an appropriate explanation. In special circumstances, different parts of the same publication may be submitted for examination by different candidates (e.g. where experiments and modelling have been done by different people).
- Theses based upon publications must have an appropriate introduction, including research objectives, and a comprehensive conclusion which clearly identifies the original contribution to knowledge of the subject with which it deals. The thesis must work as an integrated whole, and linking sections may also be used to this end.
- Submitted manuscripts and accepted and published work, in part or in full, may all provide the basis for chapters in the thesis.

Where work has been previously published, a journal may need to give copyright permission for the material to be included in a thesis which will be placed in the Library's electronic repository. Candidates should gain copyright clearance as early as possible.

- Candidates are strongly advised to standardise the format and referencing of chapters. Copies of articles and/or creative works, as appropriate as published may be included in a pocket in the thesis, or in pdf form on the thesis CD.
- Candidates are advised to fully reference previous publication of their own sole-authored work, including graphs, tables and images that they themselves have generated. Any other intellectual content must be fully and appropriately referenced to the person(s) that supplied them. They are then able to sign a statement that the thesis is their own work. It is advisable to list in the preface publications that have arisen out of the work.
- The University sets the standard by which theses are examined, and acceptance of any part by a publisher does not necessarily mean that it meets examination standards. Examiners will be instructed to examine all parts of the thesis with equal rigour, and may request changes to any part of the thesis regardless of whether it has been published or not.
- The candidate is expected to have a working knowledge of all parts of the thesis, and to be able to answer questions about the thesis as a whole in the oral examination.
- The candidate is required to complete the form **DRC 16** - 'Statement of Contribution to Doctoral Thesis Containing Publications' – for each article/paper included in the thesis.

NOTE: Research that has been published (or accepted for publication), does not ensure a pass in a Doctoral degree. Examiners will judge a candidate's research on its original contribution to knowledge and scholarship. This thesis *must stand as a thesis* and it will be assessed on its totality, so the integration of sections may be especially important in some disciplines.

## Thesis Embargo

### *Grounds for embargo*

The grounds for a thesis embargo might be that harm could come about through such things as:

- Disclosure of commercially sensitive information (the most likely situation and one typically covered by a written agreement with an external party).
- Disclosure of information which is personal or private (this may be covered, for example, by undertakings to research participants, or by documentation used to obtain ethical approval).
- Disclosure of thesis contents before the author of the thesis has had reasonable opportunity to publish all or part of the thesis.
- Disclosure of material which has been provided on conditions that it not be disclosed.

### *Authority for thesis embargo*

Once the grounds are agreed and declared, candidates or supervisors should make application for the embargo, stating the reason for the embargo.

Applications for a thesis embargo should be on the appropriate proforma, which is available on the GRS website <http://grs.massey.ac.nz>. The application should be signed by the supervisor and candidate before being submitted to the Assistant Vice Chancellor, Research, at Massey University.

This application should be processed before the thesis is bound and should be bound into all copies of the thesis. Note that the wording of the abstract repository may need to be adjusted in the light of the need to protect Intellectual Property.

## SUBMISSION AND EXAMINATION

Further detailed information regarding the submission and examination process is available in the 'Doctoral Examination Handbook' available on the GRS website <http://grs.massey.ac.nz>

### Submission

Candidates must submit four bound copies of the thesis in book format for examination. It is recommended that these be either spiral bound or hot melt bound rather than hard bound for the examination process. Candidates may either submit their theses to the GRS in Palmerston North, or to campus Contact Offices at Auckland or Wellington campuses. Alternatively, theses may be mailed/couriered directly to the GRS. The documentation of publicly presented components in creative and performing arts must be submitted in an appropriate format. At submission a receipt will be issued.

The Doctoral examination application proforma **DRC 4** needs to accompany the submission, but should not be bound into the thesis. This proforma must be completed by the candidate and supervisor and signed by the Head of Academic Unit. The GRS cannot commence the examination process without receipt of this completed form. **Note:** Sign off of the thesis by the supervisor does not guarantee a successful examination. Students are responsible for the content and quality of their thesis, and by the time of submission, students are expected to have exceeded their supervisors in the knowledge of their thesis topic.

A citation prepared by both the supervisor and candidate, highlighting the significant outcomes of the research must also be submitted electronically to the GRS. These notes will be used for the graduation programme and/or a press release. The citation policy and examples of good citations can be viewed on the GRS website <http://grs.massey.ac.nz>

Providing the supervisor has submitted the nomination of the proposed examiners, and the DRC have approved these, the thesis will normally be dispatched within a day of receipt to the examiners.

The overseas examiner's copy is sent by airmail and will not be returned unless a confidentiality agreement is associated with the thesis, or if the thesis is under embargo. Candidates must advise the GRS of an impending embargo at the time of submission.

For the creative arts disciplines, the process varies according to the form the creative component embodies. .

### ***Student Allowances and Living Costs for Domestic Students***

It is the Ministry of Education regulation that Student Allowances and Living Costs are intended for students who are "enrolled in a full-time course at a tertiary provider or secondary school and meets the attendance and performance requirements of that provider or school for tuition" (Section 12c(1)). Once a doctoral student has submitted their thesis, they no longer satisfy the 'full-time' requirement and therefore will be ineligible for further payments from StudyLink.

## **Examination**

The Doctoral thesis is examined by an examination committee consisting of an internal examiner, who shall normally be a member of the academic staff of the University not involved in the candidate's research, and two external examiners, one of whom will normally be from outside New Zealand. This committee also has a neutral convenor appointed by the DRC.

There are two parts to the examination. First the three examiners write independent thesis assessment reports. These are sent to the GRS who forwards copies to the examination convenor. Then the candidate has an oral examination with the committee members who have by then all seen each other's reports. The overseas examiner is not normally in attendance, but is invited to ask questions and give comments in his/her written report which is raised by other members of the committee.

For the creative arts disciplines, the candidate will hold an exhibition/installation/performance after the exegesis has been received by the examiners. The examiners will then write a thesis assessment report examining both the exegesis and exhibition/installation/performance, and finally attend an oral examination.

For performances spread over a period of time arrangements will be made for examiners to attend the critical performers.

***Appointment of examiners***

About two months before the thesis is submitted, the supervisor after consultation with the co-supervisor(s) should nominate the internal and two external examiners. The supervisor must give the candidate the opportunity to suggest both suitable and unsuitable examiners, however the candidate should not know the identity of the examiners until all three written thesis assessment reports have been received. Likewise, examiners' should not know one another's' identity until all three written thesis assessment reports have been received by the GRS.

The timing of the nomination is critical. If examiners are appointed too soon before the thesis is submitted, it may be that changed circumstances affect their availability or ability to assess the thesis promptly, so delaying the examination process. On the other hand, if the nomination is left too late, the submitted thesis will have to be held at the GRS waiting until examiners are appointed.

The examiners should be senior in experience to the candidate, should not have been involved in supervisory or significant advisory roles in relation to the candidature, and should not have been involved with the candidate on research projects during the candidature. External examiners should not have been a recent student within the Academic Unit concerned and would normally be associated with an academic institution, or be eminent and well respected specialists in their field.

Where it might not be possible to find either a suitable New Zealand examiner, or a suitable overseas examiner, the DRC will consider a case for the appointment of either two New Zealand examiners or two overseas examiners. If two overseas examiners are appointed, then one of the examiners will be asked to participate in the oral examination, via tele-conference.

When considering potential examiners, the supervisor should bear in mind that the nature of the course and examination for the Doctoral degree is not always fully understood by people in other countries.

The supervisors should consult a member of the DRC if they have any concerns regarding the suitability of a proposed examiner.

Before officially nominating examiners, the supervisor should contact them unofficially and ask them whether they will agree to be examiners. In particular they should ask them whether they could examine the thesis within the suggested time of six to eight weeks from receipt of the thesis. Formal application for the appointment of external examiners is to be made by the supervisor to the DRC using proforma **DRC 5**.

When the DRC has approved the nominations, the GRS will write and formally invite the nominees to be examiners. They will be sent a copy of the thesis when it is submitted, together with advice on the nature of the examination procedures and the expected format of their report. An honorarium is paid to external examiners.

#### ***Examiners' Thesis Assessment Reports***

All three examiners are required to write an independent report on the thesis and to make a recommendation of assessment. This material is sent directly to the GRS. Examiners should write their reports in the strictest confidence. Neither the thesis nor any part of it shall be given to any other persons, for any purposes whatsoever. If an examiner finds that he/she is not qualified to comment on certain technical aspects, then he/she should seek the approval of the GRS to ask the opinion of someone who has the appropriate expertise.

Examiners who require clarification on any point of procedure should seek direction from the GRS.

Thesis assessment reports can vary from a few pages to a lengthier document. The content of reports will vary according to the nature of the thesis and the conventions relevant to the appropriate discipline, but examiners are also asked to make observations on matters common to all theses (refer to proforma **DRC 6.1**). Thus examiners are asked for general comments on whether:-

- The candidate shows familiarity with, and understanding of, relevant literature.
- The thesis provides a sufficiently comprehensive study of the topic.
- The research questions have been identified.

- The methods adopted are appropriate to the subject matter and are properly applied.
- The research findings are suitably set out and accompanied by adequate exposition.
- The quality of English and general presentation is of very high standard.
- The thesis as a whole makes an original contribution to the knowledge of the subject with which it deals, and the candidate understands the relationship of the thesis to the wider context of knowledge in which it belongs.

For the creative arts disciplines (refer to **DRC 6.6**), examiners should also comment on whether:-

- The methods and techniques applied in the execution of the work are appropriate to the subject matter and are aesthetically effective, and properly applied.
- The creative work demonstrates a sufficiently high standard of literacy, visual, digital, musical, or performance quality, and is presented in a professional manner.
- The research questions have been identified and tested through the creative work.
- There is an appropriate and substantive synthesis between the creative work and the written exegesis.

Examiners' reports list what *mandatory* or *recommended* changes should be made to the thesis before it is regarded as of an acceptable standard for the award of the degree.

Examiners' reports should generally note the areas where the candidate might be questioned in the oral examination. The overseas examiner must list such questions in detail.

To accompany their report, each examiner also makes an initial recommendation of assessment on form **DRC 6.2**, that may be modified consequently upon the outcome of the oral examination.

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The list of possible recommendations at this stage is the same as that which is used for the oral examination committee's joint recommendation after the oral examination (see *Determining the result, page 73*)

In the event of a recommendation for a fail, the examiner should indicate whether they believe an oral is appropriate. In such cases the DRC will be responsible for making the decision based upon the recommendations from the examiners, as to whether or not to proceed with the oral examination at this stage, or to fail the candidate. It is not anticipated that such situations will be common. However, they may prevent a situation occurring where it is unrealistic in terms of time and/or cost for the candidate to conduct more research to bring the thesis to an acceptable standard. At this stage the DRC may also opt to seek the view of an additional person in order to resolve any significant disagreements between examiners, either as an adjudicator or as a fourth examiner.

***Role of convenor before the oral examination***

Upon receipt of all three examiners written thesis assessment reports, the GRS appoints an independent examination convenor, who is not associated with the discipline related to the thesis topic. The convenor's role is to be responsible for all communications and reports made in the name of the DRC and to oversee the whole examination process to make sure that it is conducted fairly and properly. Convenors are supplied with a flow chart to keep a check on their duties (proforma **DRC 8**).

The GRS send electronic copies of the examiners' written thesis assessment reports to the convenor. If the reports are not received by the GRS within eight weeks of posting the thesis the GRS will send a reminder letter to the examiner(s).

When the convenor has received all three written reports, these are made available to the examiners prior to arranging the oral examination. The GRS will forward the reports to the supervisor 24 hours before the start of the oral examination.

*These reports are strictly confidential to the examination committee, at this stage, and are not to be revealed to the candidate or anyone else.*

The GRS is responsible for arranging the oral examination. This involves deciding if a tentative place, date and time are convenient to the examiners, candidate, supervisor(s) and convenor. The formal arrangements for the examination must be made by the GRS (including travel arrangements for examiners), and normally are confirmed in writing via email.

Any expenses incurred by the New Zealand examiner at the time of the oral examination are submitted to the GRS together with their contract, following the oral examination. The GRS will arrange for reimbursement of expenses to be made and payment of the examination fee.

Any expenses for the attendance of an off-campus co-supervisor at the oral examination shall be borne by the Academic Unit, not the DRC.

In the case of the creative and performing arts disciplines, the GRS, working with the convenor, are responsible for ensuring the examination of the exhibition/installation/performance is facilitated.

In cases where two overseas examiners have been appointed to the examination committee, (in the absence of a suitably qualified New Zealand examiner), one overseas examiner may be brought to New Zealand. The DRC will meet part of the expenses, but it is often more appropriate for teleconference or videoconference facilities to be used.

A convenor should also either meet with the candidate or telephone the candidate a few days before the examination to advise him/her about the examination procedures that will be followed.

The presentation of a seminar by the candidate on the same day as the oral examination is not permitted, nor should any such seminar be given in the presence of the external examiner(s) or the convenor.

#### ***Oral examination***

The candidate, the internal examiner, the New Zealand examiner, and the convenor are the required participants in the oral examination. The supervisor and co-supervisors may attend the examination but they do not have any formal status with regard to the outcome of the examination.

The oral examination typically lasts for one and a half to two hours, or sometimes longer. It is not a formality and even in situations where a clear pass is anticipated it gives the candidate a chance to elaborate further on the thesis and to 'shine'.

In some universities, the oral examination has been dispensed with altogether, or made optional only for difficult cases. Massey University has maintained the convention, believing it to be a most constructive aspect of the examination process, and one which gives candidates an opportunity to demonstrate to recognised experts an understanding of the thesis work, to respond directly to concerns and criticisms raised by examiners, and to display a general knowledge of the subject area. It is a convention that helps to maintain the highest international standards for Doctoral programmes, and this has been acknowledged by external audit committees. Successful candidates are well assured that their work has truly stood the test of a thorough examination process.

#### ***Determining the result***

The examination committee, with the guidance of the convenor, is asked to reach a consensus of opinion by making a recommendation on the examination result to the DRC following due consideration of the thesis assessment reports and the oral examination.

For the creative arts disciplines, the examiners would also consider the exhibition/installation/performance.

The examination committee makes its choice following the oral examination from the following options:

- **Pass without emendation**

The thesis is of an acceptable standard for the award of the Doctoral degree and should be *passed* without amendment.

*Or*

- **Emendments required**

The candidate is required to complete emendations to the satisfaction of specified examiner(s) but is not required to have a re-examination.

The candidate will have a maximum of six months full time or nine months part time to complete the emendations and during this time the candidate will not be required to pay tuition fees. If the candidate does not complete the emendations to the satisfaction of the specified examiner(s) within the stipulated time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.

In this case the examiners, or a delegated examiner will prepare a list of the required emendations, in consultation with the convenor. The convenor will advise the candidate in writing, the nature of the reworking and/or emendations required, and advise who will approve the emendations and what time frame the candidate has to complete the emendations.

*Or*

- **Further research and re-examination required**

The thesis shall be re-examined following the completion of further research and/or revisions. Such an examination shall be in accordance with the Doctoral examination regulations. An oral examination may be requested by the examiners. A candidate may only revise and re-submit a thesis for re-examination once. The candidate will have a maximum of one-year full time or 18 months part time to conduct the required additional research and/or revisions. The candidate must re-enrol and pay tuition fees (see Fees section page 30). If the candidate does not complete the revisions to the satisfaction of all the examiners, and within the specified time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.

In this case the examiners' will prepare a list of the required further research and revisions in consultation with the convenor. Any further research and revisions must be able to be completed within 12 months full time equivalent or 18 months part time.

If the required revisions are such that they cannot be completed within these timeframes the candidate should be failed. The convenor will outline to the candidate in writing, the nature of the further work required.

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Supervisory changes may be made by the DRC following appropriate consultation. The DRC however, shall not have the power to change the name or nature of the thesis unilaterally.

When the candidate has completed the necessary research and rewriting, the thesis must formally be *resubmitted* and a *new examination* will be arranged. This may involve the appointment of one or more new examiners; where possible, however, the same examination panel will be used. The candidate must submit with the revised thesis, a concise summary of the main changes made with their page/location. For the creative and performing arts disciplines, the candidate may be required to complete a second exhibition/installation/performance of the creative works.

*Or*

- **Fail**

The thesis is *not* of a standard acceptable for the award of the Doctoral degree and that the degree should *not* be awarded. The candidate shall not be permitted to apply for re-examination.

If the examination committee can readily come to a consensus, say within half an hour, then the candidate can be invited back into the room and be informed unofficially of the recommended result. If the candidate has passed, he/she should be advised that the result cannot officially be approved until the recommendation of the examiners has been approved by the DRC.

If reaching a consensus is going to be difficult and long, the candidate should be advised that the convenor will communicate the result when all the deliberations have been concluded. In most cases examination committees reach a consensus fairly readily.

Where a consensus cannot be reached readily, it may be necessary to have further negotiations with the examiners. The final decision is not achieved by voting, but by negotiating a position acceptable to all examiners.

***Candidates' and supervisor's access to the examiners' reports***

Examiners' reports are provided to facilitate the examination process and the approval of a final result, and are not primarily intended as feedback to candidates and supervisors. Candidates will normally be permitted to see the full reports under the names of the respective examiners, but this will occur only if the examination process is not compromised in any way by the release of the reports in this form. Unnecessarily derogatory or inappropriate comments may be deleted before the release of the reports.

Supervisors will receive copies of the examiners' reports in an appropriate form within 24 hours before the start of the oral examination. Candidates will receive copies of the examiners' reports in the same form after the completion of the examination as follows:

If the candidate is awarded a pass without amendment, the candidate should be given copies of the released examiners' reports at the conclusion of the oral examination, or as soon as a decision has been reached thereafter. It is the responsibility of the convenor to see that the candidate receives these reports.

Candidates who have to make amendments, rewrite sections, or rewrite and resubmit the thesis as a whole, should be given copies of relevant sections of the examiners' reports to assist them. If the convenor deems it appropriate, copies of the three reports as released to the supervisors can be given to the candidate at that time.

If candidates have been given only sections of the reports at this time, the convenor should give them the released reports when the emendations/rewriting have been completed and the examination concluded.

Candidates are expected to complete the agreed changes specified by the examiners. When the amended thesis is resubmitted it must be approved by one or more of the examiners, as agreed post the oral examination. For minor emendations, the checking may be assigned to the supervisor.

If a candidate is failed outright, copies of the examiners' reports as released to the supervisors, together with general written comments on the reasons for the failure are to be given to the candidate after the result has been approved by the DRC.

Supervisors and candidates should note that the examiners' reports are for information only and are confidential to them. Under no circumstances should examiners be contacted regarding the content of their reports.

***Administrative follow on***

At the conclusion of the oral examination the convenor will obtain a written and signed report from the examiners present which details their mutually agreed recommendation on the result (proforma **DRC 10**). The convenor will send this to the GRS.

The convenor will also submit to the GRS a confidential written report on the conduct of the examination that will record any differences of opinion, including that of the overseas examiner. This report will conclude by making an overall recommendation to the DRC on the outcome of the examination.

**Dean's List of Exceptional Doctoral Theses**

Candidates whose research is assessed by the examiners as being of exceptionally high quality, may be considered for inclusion on the Dean's List. Candidate's who are approved for the Dean's List will receive a certificate, and have the award noted on their academic record and in the Graduation handbook. Criteria for a candidate's thesis to be considered are as follows:

- That the thesis is in the top ten percent of Doctoral theses in its field.
- That all examiners agree that the thesis as originally submitted for examination was of exceptional quality in every respect: including research and analytical content, originality, quality of expression and accuracy of presentation.
- The thesis is passed without any requirement for more than minor editorial changes. These would be in the nature of minimal typographical errors or subtle points of grammar, but would not extend to alterations which add or remove information, or which alter an interpretation or conclusion.
- That the candidate performed well at the oral.
- That the candidate submitted their thesis before or by their official submission date, without having to apply for an extension to their study.

The Dean of the Graduate Research School reserves the right to vary these conditions in exceptional circumstances.

### **Finalisation of examination result**

The DRC, at their monthly meeting, will consider the Thesis Assessment Reports, the recommendation of examiners after the oral examination, and the convenor's confidential examination report.

If the thesis is recommended for a pass without emendation, the DRC will approve the award of the degree subject to receipt of two hard bound copies and one digital copy of the thesis by GRS.

If the examination is continuing, the award of the degree will be approved subject to the emendations being satisfactorily completed and receipt of two hard bound copies and one digital copy of the amended thesis by GRS.

If a re-examination is recommended the aforementioned steps will not occur until a further round of Thesis Assessment Reports and the Examiners' recommendation are received and considered by the DRC. At this point the examination outcome may be either pass or a fail.

### **Public record**

After the examination has been completed two 'hard bound' copies and one digital copy of the thesis must be deposited with the GRS before a final result can be recommended to the DRC. The digital copy must be on a CD-ROM in either word or PDF format. The paper and digital copies must be accompanied by a declaration signed by the candidate stating that the paper and digital copies are the same. One hard bound copy and the digital copy are deposited in the university library for public record. The paper copy is placed in the vault for security; the digital copy will be lodged permanently in the University's digital repository for reference. Theses which have been embargoed will be made available only after the date stipulated by the candidate on the embargo form and approved by Massey University. The second hard bound copy is deposited with the candidate's Academic Unit.

Candidates often present their supervisor(s) with a courtesy copy, but this is not mandatory.

## Graduation

The GRS will send successful candidates the web link for the online application form for the conferment of the degree. Candidates have the choice of graduating at a Massey University graduation ceremony (either in person or *in absentia*), or have their degree awarded *in absentia* at a meeting of the University Council (the Council meets monthly). This application form also has details on the hire of appropriate academic dress to be worn at the graduation ceremony, which are generally held in either April (Auckland), May (Palmerston North and Wellington) and November (Palmerston North).

## Appeals

An appeal may be allowed on the basis of a procedural irregularity in the examination process only. If a procedural appeal is lodged, the Vice-Chancellor will appoint a mediator to help resolve any issues. If the basis of the appeal cannot be resolved, an Ad hoc Appeals Committee will be established by the Vice-Chancellor. The main function of this Committee is to ensure that the examination was conducted thoroughly in all aspects, and that there were no irregularities.

Students may use the University Grievance Procedures for any appeals not based on examination procedural irregularities. The University Calendar sets out the process to be followed. In all cases, before any formal process is invoked, mediation will be used in the first instance to help resolve any issues. The failure of a thesis is not in itself grounds for a grievance.

Applications for an appeal or grievance must be made within three months of formal notification of the examination result by the GRS, and can be made by either the candidate, supervisor, or Head of Academic Unit.

**Note:** The dissatisfaction of a final result can not form the basis of an appeal or grievance. Examination results are a consensus decision formed by three independent examiners, and the outcome is final.

## APPENDIX I

**DRC proformas**

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|---------|--|
| DRC 1   | Application for Pre-Approval into the Doctoral Programme                         |
| DRC 2   | Application for Provisional Registration as a PhD or DClinPsych Candidate        |
| DRC 2.1 | Application for Provisional Registration as a DBA or EdD Candidate               |
| DRC 3   | Six Monthly progress report for Doctoral candidates                              |
| DRC 4   | Application to be examined for a Doctoral degree                                 |
| DRC 5   | Nomination of examiners for a Doctoral Examination                               |
| DRC 6.1 | Guidelines for Examiners: Thesis Assessment Report                               |
| DRC 6.2 | Thesis Assessment Recommendation   |
| DRC 6.3 | Guidelines for Examiners: Thesis Assessment Report for Thesis Re-examination     |
| DRC 6.4 | Re-examination Thesis Assessment Recommendation                                  |
| DRC 6.5 | Recommendation for Dean of Graduate School's List of Exceptional Doctoral Theses |
| DRC 6.6 | Guidelines for Examiners of Doctoral Theses Involving Creative Works             |
| DRC 7   | Doctoral Oral Examination Expenses and Administration (Archived)                 |
| DRC 8   | Doctoral Oral Examination Convenor's flow chart                                  |

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|----------|--|
| DRC 9    | Application for use of Tele or Video Conferencing for Doctoral Oral Examinations – For Examiners |
| DRC 9.1  | Application for the Use of Video Conferencing for Doctoral Oral Examinations – For Candidates    |
| DRC 10   | Oral Examination Recommendation  |
| DRC 10.1 | Re-examination Recommendation  |
| DRC 11   | Application for Extension/Suspension of Doctoral Programme                                       |
| DRC 12   | Notification of change to Doctoral Study Status  |
| DRC 13.1 | Confirmation Report form for PhD and DCLinPsych Candidates                                       |
| DRC 13.2 | Confirmation Report form for PhD and DCLinPsych Supervisors                                      |
| DRC 13.3 | Confirmation Report form for PhD and DCLinPsych Confirmation Committee                           |
| DRC 13.4 | Confirmation Report form for DBA and EdD Candidates  |
| DRC 13.5 | Confirmation Report form for DBA and EdD Programme Director/Co-coordinator                       |
| DRC 13.6 | Confirmation Report form for DBA and EdD Confirmation Committee                                  |
| DRC 13.7 | Confirmation Report form for DBA and EdD Candidates and Supervisors                              |
| DRC 14   | Notification of Change to Doctoral Supervision   |
| DRC 15   | Notification of Withdrawal from Doctoral Study   |
| DRC 16   | Statement of Contribution to Doctoral Thesis Containing Publications                             |

## APPENDIX II

**Services relevant to Doctoral studies****Doctoral Office:**

Ms Anne Howard/Mrs Robyn Stinson/Mrs Janene Walter  
Graduate Research School (PN 713)  
Massey University  
Private Bag 11 222  
Palmerston North 4442  
New Zealand

Telephone: 64-6 356 9099 extension 7922/7738/2909  
Facsimile: 64-6 350 5609  
E-Mail: [Doctoral.Office@massey.ac.nz](mailto:Doctoral.Office@massey.ac.nz)

Chairperson, Doctoral Research Committee:  
Professor Margaret Tennant  
Dean  
Graduate Research School (PN 713)  
Massey University  
Private Bag 11 222  
Palmerston North 4442  
New Zealand

Ms Jackie Koenders  
Manager  
Graduate Research School (PN 713)  
Massey University  
Private Bag 11 222  
Palmerston North 4442  
New Zealand

Telephone: 64-6 356 9099 extension 7869  
Facsimile: 64-6 350 5609  
E-Mail: [J.M.Koenders@massey.ac.nz](mailto:J.M.Koenders@massey.ac.nz)

**Scholarships information:**

Call 0800 Massey (0800 627739) or e-mail [contact@massey.ac.nz](mailto:contact@massey.ac.nz)  
Website: <http://awards.massey.ac.nz/>

**Information on Student Allowances and Loans:**

Contact StudyLink  
Website: <http://www.studylink.govt.nz/>

**Advice and support relating to Student Health and Counselling Service:**

**Website:** [http://www.massey.ac.nz/massey/student-life/services-students/en/student-services\\_home.cfm](http://www.massey.ac.nz/massey/student-life/services-students/en/student-services_home.cfm)

*Albany Campus*

Mrs Gabrielle Graham  
Head of Health and Counselling Centre  
Oaklands Road  
Oteha Rohe  
Building 100  
Massey University  
P O Box 102-904  
North Shore Mail Centre  
Auckland

Telephone: 64-9-4439783  
Facsimile: 64-9-4439784  
E-mail: G.Graham@massey.ac.nz

*Palmerston North Campus – Counselling Service*

Mr Mark Rainier  
Head  
Student Counselling Service  
Massey University  
Private Bag 11 222  
Palmerston North  
New Zealand

Telephone: 64-6- 350 5533  
Facsimile: 64-6- 350 5090  
After hours: 64-6- 350 5533  
E-Mail: [M.G.Rainier@massey.ac.nz](mailto:M.G.Rainier@massey.ac.nz)  
After hours mental health emergency 0800 653357 (24 hours)

*Palmerston North Campus – Health Services*

Dr Mark Morris  
Student Health Service  
Massey University  
Private Bag 11 222  
Palmerston North  
New Zealand

Telephone: 64-4 350 5533  
After Hours: 64-6 355 3300  
Facsimile: 64-6-350 5090  
E-Mail: [M.R.Morris@massey.ac.nz](mailto:M.R.Morris@massey.ac.nz)

*Wellington Campus*

Mrs Mary Khalil  
Clinical Nurse Manager  
Student Health and Counselling  
Massey University  
Private Bag 756  
Wellington

Telephone: 64-4-8012542  
Facsimile: 64-4-8012547  
E-Mail: [M.E.Khalil@massey.ac.nz](mailto:M.E.Khalil@massey.ac.nz)

**Matters relating to international student:**

*Admission Inquiries*

International Office (PN 721)  
Massey University  
Private Bag 11 222  
Palmerston North 4442  
New Zealand

Telephone: 64-6-350 5599  
Facsimile: 64-6-350 5698

E-Mail: [International@massey.ac.nz](mailto:International@massey.ac.nz)  
Web: <http://international.massey.ac.nz>

**On campus support for international student:**

*Albany Campus*

Ms Vivien Cheah  
Team Leader  
International and Migrant Student Office  
Massey University  
Auckland Campus

Telephone: 64-9- 414 0800 Ext.9221 or 9320  
Facsimile: 64-9- 414 0810  
E-Mail: [v.cheah@massey.ac.nz](mailto:v.cheah@massey.ac.nz)

*Palmerston North Campus*

Mrs Sylvia Hooker  
Team Leader  
International Students Support Services  
Palmerston North Campus

Telephone: 64-6- 350 5916  
Facsimile: 64-6- 350 5695  
E-Mail: [s.d.hooker@massey.ac.nz](mailto:s.d.hooker@massey.ac.nz)

*Wellington Campus*

Ms Cherie Wu  
Team Leader  
International Support Office  
Ground level  
Block 4  
Wellington Campus

Telephone: 64-4- 801 5799 Extension 6976  
Facsimile: 64-4- 801 2684  
E-Mail: [c.j.wu@massey.ac.nz](mailto:c.j.wu@massey.ac.nz)

**Information relating to Research Ethics (Human, Animal and Genetic Technology):***Research Ethics Office Manawatu (PN221)*

Professor John O'Neill  
Director, Research Ethics  
Room 2.02  
Old Main Building  
Palmerston North Campus

Telephone: 64-6-350 5249  
Facsimile: 64-6-350 5622  
E-mail: J.G.ONeill@massey.ac.nz

Ms Patsy Broad/Mrs Miralie Thomas Vincent  
Room 2.02  
Old Main Building  
Palmerston North Campus

Telephone: 64-6-350 5799 Extension 5573/5575  
Facsimile: 64-6-350 5622  
E-mail: [P.L.Broad@massey.ac.nz](mailto:P.L.Broad@massey.ac.nz) / [M.E.Thomas@massey.ac.nz](mailto:M.E.Thomas@massey.ac.nz)

*Research Ethics Office, Albany*

Mrs Merle Turner  
Room 1.29  
Study Centre  
Albany Campus

Telephone: 64-9-414 0500 Extension 9539  
Facsimile: 64-9-414 0814  
Email: M.L.Turner@massey.ac.nz

Information on Codes of Ethical Conduct and application procedures for ethical approval are outlined on the websites below:

Human- <http://humanethics.massey.ac.nz/>

Animal- <http://research.massey.ac.nz/massey/research/research-ethics/animal-ethics/introduction.cfm>

Genetic Technology-  
<http://www.massey.ac.nz/massey/research/research-ethics/genetic-technology/genetic-technology.cfm>

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APPENDIX III

**Degree Regulations**

Doctor of Business and Administration - DBA

The personal course of study of every candidate shall be approved by the Academic Board. Approval will be granted for courses, which are in accordance with the following regulations. For general provisions affecting their course of study, students are referred to the General Regulations governing Matriculation, Enrolment and Examinations

Course Regulations

*Eligibility*

1. Before enrolling for the degree of Doctor of Business and Administration candidates shall:
  - (a) have completed the requirements for a relevant Massey University Bachelors (Hons) or Masters degree with First Class or Second Class Division I Honours or the equivalent; and
  - (b) have satisfied the Academic Board that they have sufficient background of senior management experience to benefit from the course.

*Registration*

2. An intending candidate for the degree shall make application for provisional registration to the Graduate Research School, on the appropriate form. The Doctoral Research Committee after consultation with the College of Business about eligibility, programme structure and commencement date, shall determine whether the application and the proposed course shall be approved, and if so shall determine the date of provisional registration.
3. Registration shall be subject to confirmation by the Academic Board after the student meets specific grade performance standards in the papers in 5(a) below.

For the purpose of Regulations (4) and (9) the date of confirmed registration shall be the date of the provisional registration unless otherwise specified by the Academic Board. Candidates will be allocated supervisors at the time of confirmation.

*Conditions of studentship*

4. The Academic Board shall determine the minimum period of registration and conditions of studentship for each candidate. Normally for full-time candidates the minimum period of registration shall be three years (36 months) and the maximum will be four years (48 months) from the date of registration. For part-time candidates the minimum period of registration will be four years (48 months) and the maximum six years (72 months) from the date of registration.

*Programme of Study*

5. Candidates shall follow a course of study comprising 360 credits undertaken in accordance with the specifications below. The degree is awarded on the basis of meeting specific performance standards in both the papers and the thesis.
 

(a)	115.901: Advanced Research Seminar	30 credits
	115.902: Advanced Studies in Business and Administration	30 credits
	115.903: Advanced Directed Study in Business & Administration (P115.901 Advanced Research Seminar)	30 credits
	115.910: Special Topic in an Appropriate Disciplinary Area	30 credits
(b)	115.999 Thesis	240 credits

*Papers*

6. The various requirements for course work prescribed in 5(a) will comply with procedures as laid down by the Pro Vice-Chancellor of the College of Business.

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Candidates will be informed of these requirements prior to provisional registration. This information will also include the required performance standards that will be required for transition into 5(b) prior to the formal registration of candidates for the thesis.

*Thesis*

7. The thesis provides an important demonstration of the candidate's ability to carry out independent research, which is considered to be a significant contribution to both knowledge and understanding in business and administration. The thesis shall be an integrated report on the candidate's supervised work and may consist of several studies or cases.

Where a number of studies are submitted for examination, the candidate shall be required to demonstrate the relationship between them. The thesis may consist of the candidate's published or unpublished material or a combination of both.

*Thesis Supervision*

8. Once the candidate is enrolled in 5(b) above, there shall be one supervisor, who shall be a member of the academic staff of the University, and normally at least one co-supervisor. At such times as may be deemed appropriate and at least twice each year, the supervisor(s) shall report to the Academic Board on the candidate's progress. If the candidate's progress is considered to be unsatisfactory, subject to any appeal or submission from the candidate, the Doctoral Research Committee may terminate the candidate's registration.

*Thesis Examination*

9. Once the thesis is completed the candidate shall make formal application to be examined to the Graduate Research School. The thesis shall be submitted for examination no later than the time specified in Regulation 4. Such time shall exclude any period of suspension (maximum of one-year full time equivalent). In special circumstances the date for submission may be extended (maximum of one-year full time equivalent) by the Academic Board. The application for examination shall be accompanied by:

- (a) four copies of the thesis, not exceeding 65,000 words (excluding appendices and bibliography), embodying the results of the candidate's research in a form consistent with the requirements of Massey University;
- (b) four copies of an abstract of the thesis not exceeding three hundred and fifty words, one copy of which will be bound into each copy of the thesis;
- (c) a statement signed by the Supervisor(s) stating that the candidate has pursued the research programme in accordance with the requirements of these regulations;
- (d) a statement signed by the candidate verifying that:
  - i. the work on which the thesis is based has not been accepted either in whole or in part for any other degree or diploma, and clearly defining the nature and extent of any assistance the candidate has received in pursuing the research on which the thesis is based;
  - ii. reference to work other than that of the candidate, has been appropriately acknowledged;
  - iii. research practice, ethical and genetic technology policies have been complied with as appropriate; and
  - iv. the thesis does not exceed 65,000 words (excluding appendices and bibliography).

#### *The Examination Process*

10. There shall be appointed an Examination Committee experienced in the thesis subject area, which shall include at least: an internal examiner, who shall normally be a member of the academic staff of Massey University who has not been involved in the supervision of the candidate's research; two external examiners, one of whom will normally be from outside New Zealand; a convenor appointed by the Doctoral Research Committee. Four copies of the thesis shall be submitted for examination. Following receipt of the Thesis Assessment Reports from the three examiners, the convenor will facilitate an oral examination of the candidate on the thesis and the subject area.

This oral examination may proceed in the absence of one of the external examiners, provided that it shall not proceed until the convenor has received a report on the thesis from that external examiner. If the examiners agree that the thesis is of an inadequate standard, following consultation with the Convenor, a recommendation may be made to the Doctoral Research Committee that an Oral Examination not proceed and that the candidate be failed.

11. The Thesis Examination Committee shall make a report to the Academic Board on the whole examination, and will advise the result of the examination by using one of the following categories:-
  - a) Pass without emendation.
  - b) Emendations required.

The candidate is required to complete emendations to the satisfaction of specified examiner(s) but is not required to have a re-examination. The candidate will have a maximum of six months full time or nine months part time to complete the emendations and during this time the candidate will not be required to re-enrol. If the candidate does not complete the emendations to the satisfaction of the specified examiner(s) within the stipulated time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
  - c) Further Research and Re-examination required.

The thesis shall be re-examined following the completion of further research and/or revisions. Such an examination shall be in accordance with Regulation 9 and 10 hereof.

An oral examination may be requested by the examiners. A candidate may only revise and re-submit a thesis for re-examination once. The candidate will have a maximum of one-year full time or eighteen months part time to conduct the required additional research and/or revisions. The candidate must re-enrol and pay tuition fees on a pro-rata basis.

If the candidate does not complete the revisions to the satisfaction of all the examiners, and within the specified time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.

- d) Fail.  
The candidate shall not be awarded the degree and shall not be permitted to apply for re-examination.

*Right of Appeal*

12. No appeals are allowed except those based on procedural irregularities in the examination process. In the event of an appeal being lodged, an Ad Hoc Committee will be established by the Vice-Chancellor. For an appeal to be considered, applications must be received by the Doctoral Research Committee within three months of formal notification of the examination result by the Graduate Research School.

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Doctor of Clinical Psychology - DClinPsych

Course Regulations

*Eligibility*

1. Before enrolling for the Degree of Doctor of Clinical Psychology candidates shall:
  - (a) have completed the requirements for a relevant Massey University Bachelor (Hons) or Master's degree with First Class or Second Class Division I Honours, or the equivalent; the qualifying degree must include a research component constituting at least 25% of the qualification;
  - (b) have passed the following papers, or their equivalents, in their qualifying degree: 175.738, 175.781, 175.782, 175.783; and
  - (c) have satisfied the Academic Board that they have demonstrated that they have sufficient personal qualities, ethical standards and professional potential, and have satisfied the DClinPsych selection panel as to their suitability to undertake a research-oriented and professional course of study which satisfies the eligibility requirements to practice as a Registered Psychologist in accordance with the Health Practitioners Competency Assurance Act of 2003, or as amended.
  - (d) During the period of enrolment for the Degree of Doctor of Clinical Psychology candidates shall continue to meet the requirements of 1(c).

*Registration*

2. An intending candidate for the degree shall make application for admission to the Clinical Psychology Programme on the appropriate form and undergo a personal interview before a selection panel who will also consider prior professional experience (if any), a personal statement of intent and career goals and letters of recommendation from relevant professionals familiar with the candidate's academic and

practical work. Upon notification of acceptance to the Clinical Psychology Programme, an intending candidate for the DClinPsych degree shall make application for provisional registration to the Graduate Research School on the appropriate form. The Doctoral Research Committee after consultation with the Director of Clinical Training about eligibility, programme structure and commencement date, shall determine whether the application and the proposed course are to be approved, and if so shall determine the date of provisional registration and appoint the supervisors.

3. Registration shall be subject to confirmation by the Academic Board after the student meets specified grade performance standards in papers 175.835 and 175.920 from sections 5 (a) and (b) of the schedule below and one satisfactory half yearly report for 175.991 Thesis Part A. For the purposes of Regulations 4 and 9, the date of confirmed registration shall be the date of provisional registration unless otherwise specified by Academic Board.

#### *Conditions of Studentship*

4. The Academic Board shall determine the minimum period of registration and conditions of studentship for each candidate. Normally for full-time candidates the minimum period of registration will be three years (36 months) and the maximum will be four years (48 months) from the date of registration. Under exceptional circumstances a part-time programme of six years (72 months) will be approved, subject to approval of the Director of Clinical Training and the Head of School.

#### *Programme of Study*

5. Candidates shall follow a course of study comprising 360 credits, undertaken in accordance with the specifications in the schedule below. The degree is awarded on the basis of meeting specified performance standards in the academic papers, the clinical practicum papers, the internship, and the thesis.

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 Schedule for the degree of Doctor of Clinical Psychology

(a)	175.835 Skills in Clinical Assessment	15 credits
	175.836 Skills in Clinical Intervention	15 credits
(b)	175.920 Clinical Psychology Practicum I	15 credits
	175.921 Clinical Psychology Practicum II	15 credits
	175.922 Clinical Psychology Internship	60 credits
(c)	175.991 Thesis Part A	90 credits
	175.992 Thesis Part B	90 credits
	175.993 Thesis Part C	60 credits

*Papers, Practica and Internship*

6. The various requirements for course work, practica, and internship prescribed in 5(a) and 5(b) will comply with procedures as laid down by the Director of Clinical Training of the School of Psychology and by the Pro Vice-Chancellor of the College of Humanities and Social Sciences, which will be made known to the candidate prior to provisional registration. Enrolment in 175.922 Clinical Psychology Internship will be contingent on the Clinical Programme Director being satisfied that adequate progress has been made on the research component of the degree in the period since full registration as a doctoral candidate. The information will also include the required performance standards for successful completion of the practica and for successfully passing the oral examination that occurs at the conclusion of the internship.

*Thesis*

7. The thesis needs to demonstrate the candidate's ability to carry out independent research which is considered to be a significant contribution to knowledge and understanding in clinical psychology. The thesis shall be an integrated report on the candidate's supervised research work, including at least one empirically validated illustration of the contribution of the thesis research to clinical practice, completed during the internship. The thesis may consist of the candidate's published or unpublished material or a combination of both.

*Thesis Supervision*

8. There shall be one supervisor, who shall be a member of the academic staff of the School of Psychology at the University, and at least one co-supervisor. In addition there will be a mentor who is a member of the Clinical Psychology Programme staff. Together these three individuals will constitute a Thesis Supervisory Committee which shall monitor progress towards established time-lines and ensure that the thesis work meets the objectives of contribution to clinical knowledge. At such times as may be deemed appropriate and at least twice a year during the thesis period the Supervisory Committee shall report to Academic Board on the candidate's progress. If the candidate's progress is considered to be unsatisfactory, subject to any appeal or submission from the candidate, the Doctoral Research Committee may terminate the candidate's registration.

*Thesis Examination*

9. Once the thesis is completed the candidate shall make formal application to be examined to the Graduate Research School. The thesis shall normally be submitted for examination no later than the time specified in Regulation 4. Such time shall exclude any period of suspension (maximum of one year full-time equivalent). In special circumstances the date for submission may be extended (maximum of one year full-time equivalent) by the Academic Board. The application for examination shall be accompanied by:
  - (a) four copies of a thesis, not exceeding 65,000 words (excluding appendices and bibliography) embodying the results of the candidate's research and demonstration of practical application, in a form consistent with the requirements of Massey University;
  - (b) four copies of an abstract of the thesis, not exceeding 350 words, one copy of which will be bound into each thesis;
  - (c) a statement signed by the supervisor that the candidate has pursued the research in accordance with the requirements of these regulations;

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- (d) a statement signed by the candidate verifying that:
    - i. the work on which the thesis is based has not been accepted either in whole or in part for any other degree or diploma, and clearly defining the nature and extent of any assistance the candidate has received in pursuing the research on which the thesis is based;
    - ii. reference to work other than that of the candidate has been appropriately acknowledged;
    - iii. research practice, ethical and genetic technology policies have been complied with as appropriate, and
    - iv. the thesis does not exceed 65,000 words (excluding appendices and references).

#### *The Examination Process*

10. There shall be appointed an Examination Committee experienced in the thesis subject area, which shall include at least: an internal examiner, who shall normally be a member of the academic staff of Massey University who has not been involved in the supervision of the candidate's research; two external examiners, one of whom will normally be from outside New Zealand; a convenor appointed by the Doctoral Research Committee. Four copies of the thesis shall be submitted for examination. Following receipt of the Thesis Assessment Reports from the three examiners, the convenor will facilitate an oral examination of the candidate on the subject of the thesis and the subject area. This oral examination may proceed in the absence of one of the external examiners, provided that it shall not proceed until the convenor has received a report on the thesis from that external examiner. If the examiners agree that the thesis is of an inadequate standard, following consultation with the Convenor, a recommendation may be made to the Doctoral Research Committee that an Oral Examination not proceed and that the candidate be failed.
11. The Thesis Examination Committee shall make a report to the Academic Board on the whole examination, and will advise the result of the examination by using one of the following categories:

- (a) Pass without emendation
- (b) Emendations required.  
The candidate is required to complete emendations to the satisfaction of specified examiner(s) but is not required to have a re-examination. The candidate will have a maximum of six months full time or nine months part time to complete the emendations and during this time the candidate will not be required to re-enrol. If the candidate does not complete the emendations to the satisfaction of the specified examiner(s) within the stipulated time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
- (c) Further research and re-examination required.  
The thesis shall be re-examined following the completion of further research and/or revisions. Such an examination shall be in accordance with Regulation 9 and 10 hereof. An oral examination may be requested by the examiners. A candidate may only revise and re-submit a thesis for re-examination once. The candidate will have a maximum of one year full time or eighteen months part time to conduct the required additional research and/or revisions. The candidate must re-enrol and pay tuition fees on a pro-rata basis. If the candidate does not complete the revisions to the satisfaction of all the examiners, and within the specified time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
- (d) Fail  
The candidate shall not be awarded the degree and shall not be permitted to apply for re-examination.

The combined assessment of the thesis and the candidate's professional practice following the internship final examination (as specified in 6 above) will form the total examination for the award of the Doctor of Clinical Psychology degree.

*Right of Appeal*

12. No appeals are allowed except those based on procedural irregularities in the examination process. In the event of an appeal being lodged, an Ad Hoc Committee will be established by the Vice-Chancellor. For an appeal to be considered, applications must be received by the Doctoral Research Committee within three months of formal notification of the examination result by the Graduate Research School.

### Doctor of Education - EdD

The personal course of study of every candidate shall be approved by the Academic Board. Approval will be granted for courses which are in accordance with the following regulations. For general provisions affecting their course of study, students are referred to the General Regulations governing Matriculation, Enrolment and Examinations.

#### Course Regulations

##### *Eligibility*

1. Before enrolling for the degree of Doctor of Education candidates shall:
  - (a) have completed the requirements for a relevant Massey University Bachelors (Hons) or Masters degree with First Class or Second Class Division I Honours or the equivalent; and
  - (b) have satisfied the Academic Board that they have sufficient background of professional leadership experience in education to benefit from the course.

##### *Registration*

2. An intending candidate for the degree shall make application for provisional registration to the Graduate Research School on the appropriate form. The Doctoral Research Committee after consultation with the College of Education's Graduate Studies Committee about eligibility, programme structure and commencement date shall determine whether the application and the proposed course are to be approved, and if so shall determine the date of provisional registration.
3. Registration shall be subject to confirmation by the Academic Board after the student meets specified grade performance standards in the papers in sections (a) and (b) of the schedule below. For the purposes of Regulations 4 and 9, the date of confirmed registration shall be the date of provisional registration unless otherwise specified by Academic Board. Candidates will be allocated supervisors at the time of confirmation.

*Conditions of Studentship*

4. The Academic Board shall determine the minimum period of registration and conditions of studentship for each candidate. Normally for full-time candidates the minimum period of registration will be three years (36 months) and the maximum will be four years (48 months) from the date of registration. For part-time candidates the minimum period of registration will be four years (48 months) and the maximum will be six years (72 months) from the date of registration.

*Programme of Study*

5. Candidates shall follow a course of study comprising 360 credits, undertaken in accordance with the specifications in the schedule below. The degree is awarded on the basis of meeting specified performance standards in both the papers and the thesis.

## Schedule for the Degree of Doctor of Education papers

(a)

267.911 Advanced Professional Education	30 credits
267.912 Advanced Studies in Education (P267.911),	30 credits
267.913 Advanced Research and Evaluation Methodology (P267.911, 267.912)	30 credits
180.929 Advanced Directed Study in Education (P267.911, 267.912, 267.913)	30 credits

(b) 267.930 Thesis EdD 240 credits

*Papers*

6. The various requirements for course work prescribed in 5(a) will be in accordance with procedures specified by the Pro Vice-Chancellor of the College of Education which will be made known to the candidate prior to provisional registration.

This information will also include details of the performance standards that will be required for transition into 5(b) undertaking the thesis.

#### *Thesis*

7. The thesis needs to demonstrate the candidate's ability to carry out independent research which is a significant contribution to knowledge and understanding in professional education. The thesis shall be an integrated report of supervised work and if it consists of several studies or cases, their relationship to one another shall be demonstrated. The thesis may consist of the candidate's published or unpublished material or a combination of both.

#### *Thesis Supervision*

8. There shall be one supervisor, who shall be a member of the academic staff of the University, and normally at least one co-supervisor. At such times as may be deemed appropriate and at least twice each year during the thesis period the supervisor(s) shall report to the Academic Board on the candidate's progress. If the candidate's progress is considered to be unsatisfactory, subject to any appeal or submission from the candidate, the Doctoral Research Committee may terminate the candidate's registration.

#### *Thesis Examination*

9. Once the thesis is completed the candidate shall make formal application to be examined to the Graduate Research School. The thesis shall normally be submitted for examination not later than the times specified in Regulation 4. Such time shall exclude any period of suspension (maximum of one-year full time equivalent). In special circumstances, the date for submission may be extended (maximum of one-year full time equivalent) by the Academic Board. The application for examination shall be accompanied by:
  - (a) four copies of a thesis, not exceeding 65,000 words (excluding appendices and bibliography) embodying the results of the candidate's research, in a form consistent with the requirements of Massey University;

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- (b) four copies of an abstract of the thesis, not exceeding 350 words, one copy of which will be bound into each thesis;
  - (c) a statement signed the supervisor(s) that the candidate has pursued the research in accordance with the requirements of these regulations;
  - (d) a statement signed by the candidate verifying that:
    - i. the work on which the thesis is based has not been accepted in whole or in part for any other degree or diploma, and clearly defining the nature and extent of any assistance the candidate has received in pursuing the research on which the thesis is based;
    - ii. reference to work other than that of the candidate, has been appropriately acknowledged;
    - iii. research practice, ethical and genetic technology policies have been complied with as appropriate; and
    - iv. the thesis does not exceed 65,000 words (excluding appendices and bibliography).

*The Examination Process*

10. There shall be appointed an Examination Committee experienced in the thesis subject area, which shall include at least: an internal examiner, who shall normally be a member of the academic staff of Massey University who has not been involved in the supervision of the candidate's research; two external examiners, one of whom will normally be from outside New Zealand; a convenor appointed by the Doctoral Research Committee. Four copies of the thesis shall be submitted for examination. Following receipt of the Thesis Assessment Reports from the three examiners, the convenor will facilitate an oral examination of the candidate on the thesis and the subject area. This oral examination may proceed in the absence of one of the external examiners, provided that it shall not proceed until the convenor has received a report on the thesis from that external examiner.

If the examiners agree that the thesis is of an inadequate standard, following consultation with the Convenor, a recommendation may be made to the Doctoral Research Committee that an Oral Examination not proceed and that the candidate be failed.

11. The Thesis Examination Committee shall make a report to the Academic Board on the whole thesis examination, and will advise the result of the examination by using one of the following categories:-

- a) Pass without emendation.
- b) Emendations required.  
The candidate is required to complete emendations to the satisfaction of specified examiner(s) but is not required to have a re-examination. The candidate will have a maximum of six months full time or nine months part time to complete the emendations and during this time the candidate will not be required to re-enrol. If the candidate does not complete the emendations to the satisfaction of the specified examiner(s) within the stipulated time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
- c) Further Research and Re-examination required.  
The thesis shall be re-examined following the completion of further research and/or revisions. Such an examination shall be in accordance with Regulation 9 and 10 hereof. An oral examination may be requested by the examiners. A candidate may only revise and re-submit a thesis for re-examination once. The candidate will have a maximum of one-year full time or eighteen months part time to conduct the required additional research and/or revisions. The candidate must re-enrol and pay tuition fees on a pro-rata basis. If the candidate does not complete the revisions to the satisfaction of all the examiners, and within the specified time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.

- d) Fail.  
The candidate shall not be awarded the degree and shall not be permitted to apply for re-examination.

*Right of Appeal*

12. No appeals are allowed except those based on procedural irregularities in the examination process. In the event of an appeal being lodged, an Ad Hoc Committee will be established by the Vice-Chancellor. For an appeal to be considered, applications must be received by the Doctoral Research Committee within three months of formal notification of the examination result by the Graduate Research School.

Doctor of Philosophy - PhD

## Course Regulations

*Eligibility*

1. (a) A candidate for the degree shall have completed the requirements for a Massey University Bachelor's (Hons) or Master's degree with First or Second Class Honours, Division I, or the equivalent; and
- (b) have satisfied the Academic Board that they have sufficient experience of independent research to benefit from the course.

*Registration*

2. (a) An intending candidate for the degree shall make application for provisional registration to the Graduate Research School on the appropriate form. The Doctoral Research Committee after consultation with the head of the appropriate academic unit shall determine whether the application and the proposed course are to be approved, and if so shall determine the date of provisional registration and appoint the supervisors.
  - (b) In exceptional circumstances a student enrolled in a Massey University Master's degree may have their case considered to be provisionally registered as a candidate for the Doctor of Philosophy degree. Research conducted for the Master's degree may form part of the doctoral thesis. Initial registration for the degree is provisional and will be considered for confirmation after one year of satisfactory study.
3. Registration shall be subject to confirmation by the Academic Board within one year for full time candidates and eighteen months for part time candidates from the date of provisional registration and normally after two satisfactory half yearly reports. A deferral of six months of Confirmation of Registration may be.

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For the purposes of Regulations 5 and 7, the date of confirmed registration shall be the date of provisional registration unless otherwise specified by Academic Board.

*Supervision*

4. There shall be one supervisor, who shall be a member of the academic staff at the University, and normally at least one co-supervisor. At such times as may be deemed appropriate and at least twice each year the supervisor(s) shall report to the Academic Board on the candidate's progress. If the candidate's progress is considered to be unsatisfactory, subject to any appeal or submission from the candidate, the Doctoral Research Committee may terminate the candidate's registration.

*Conditions of Studentship*

5. The Academic Board shall determine the minimum period of registration and conditions of studentship for each candidate. Normally for full-time candidate the minimum period of registration shall be two years (24 months) and the maximum will be four years (48 months) from the date of registration. For part time candidates the minimum period of registration will be three years (36 months) and the maximum six years (72 months) from the date of registration.

NOTE: For students in the New Zealand School of Music, the maximum period of candidacy is five years whether registered on a full-time or part-time basis.

*Thesis*

6. The degree is awarded for a thesis which demonstrates the candidate's ability to carry out independent research which is a significant contribution to the knowledge and understanding of a field of study. The thesis shall be an integrated report on the candidate's supervised work and may consist of several studies or cases. Where a number of studies are submitted for examination, the candidate shall be required to demonstrate the relationship between them.

The thesis may consist of the candidate's published or unpublished material or a combination of both. Candidates submitting a thesis in the creative and performing arts may prepare a presentation which consists of creative work and written components. The creative works and performance should take a form appropriate to the discipline.

#### *Examination*

7. Once the thesis is completed candidates shall make formal application to be examined to the Graduate Research School. The thesis shall normally be submitted for examination not later than the times specified in Regulation 5, excluding periods of suspension (maximum of one-year full time equivalent). In special circumstances, the date for submission may be extended (maximum of one-year full time equivalent) by the Academic Board. The application for examination shall be accompanied by-
  - (a) four copies of a thesis, not exceeding 100,000 words (excluding appendices and bibliography), embodying the results of the candidate's research, in a form consistent with the requirements of Massey University. For a PhD in Music which includes major components of composition and/or performance, the thesis will not exceed 60,000 words (excluding appendices and bibliography);
  - (b) four copies of an abstract of the thesis, not exceeding 350 words, one copy of which will be bound into each thesis;
  - (c) any aspect of the thesis of which public presentation is an integral part should be examined in that context. A permanent record must be made for archival purposes;
  - (d) a statement signed by the supervisor(s) verifying that the candidate has pursued the course in accordance with the requirements of these regulations;
  - (d) a statement signed by the candidate verifying that:
    - i. the work on which the thesis is based has not been accepted in whole or in part for any other degree or diploma, and clearly defining the nature and extent

- of any assistance the candidate has received in pursuing the research on which the thesis is based;
- ii. reference to work other than that of the candidate, has been appropriately acknowledged;
- iii. research practice, ethical and genetic technology policies have been complied with as appropriate; and
- iii. the thesis does not exceed 100,000 words (excluding appendices and bibliography).

*The Examination Process*

8. There shall be appointed an Examination Committee experienced in the thesis subject area, which shall include at least: an internal examiner, who shall normally be a member of the academic staff of Massey University who has not been involved in the supervision of the candidate's research; two external examiners, one of whom will normally be from outside New Zealand; a convenor appointed by the Doctoral Research Committee. Four copies off the thesis shall be submitted for examination. For candidates submitting a thesis in creative and performing arts, the thesis must include a permanent record of the performance/exhibition. The convenor will arrange for the examiners to attend an exhibition or performance or presentation in the appropriate format. Following receipt of the Thesis Assessment Reports from the three examiners, the convenor will facilitate on oral examination of the candidate on the thesis and the subject area. This oral examination may proceed in the absence of one of the external examiners, provided that it shall not proceed until the convenor has received a report on the thesis from that external examiner. If the examiners agree that the thesis is of an inadequate standard, following consultation with the convenor, a recommendation may be made to the Doctoral Research Committee that an oral examination not proceed, and that the candidate be failed.
9. The Examination Committee shall make a report to the Academic Board on the whole examination, and will advise the result of the examination by using one of the following categories:

- (a) Pass without emendation.
- (b) Emendations required.  
The candidate is required to complete emendations to the satisfaction of specified examiner(s) but is not required to have a re-examination. The candidate will have a maximum of six months full time or nine months part time to complete the emendations and during this time the candidate will not be required to re-enrol. If the candidate does not complete the emendations to the satisfaction of the specified examiner(s) within the stipulated time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
- (c) Further Research and Re-examination required.  
The thesis shall be re-examined following the completion of further research and/or revisions. Such an examination shall be in accordance with Regulation 7 and 8 hereof. An oral examination may be requested by the examiners. A candidate may only revise and re-submit a thesis for re-examination once. The candidate will have a maximum of one-year full time or eighteen months part time to conduct the required additional research and/or revisions. The candidate must re-enrol and pay tuition fees on a pro-rata basis. If the candidate does not complete the revisions to the satisfaction of all the examiners, and within the specified time, the candidate will be failed. In this case a candidate shall not be permitted to be re-examined.
- (d) Fail.  
The candidate shall not be awarded the degree and shall not be permitted to apply for re-examination.

*Right of Appeal*

10. No appeals are allowed except those based on procedural irregularities in the examination process. In the event of an appeal being lodged, an Ad Hoc Committee will be established by the Vice-Chancellor. For an appeal to be considered, applications must be received by the Doctoral Research Committee within three months of formal notification of the examination result by the Graduate Research School.

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