

Doctoral Regulations: for PhD and other Doctorates with Theses

Note: These regulations combine and replace the previous Doctoral Regulations and Doctoral Procedures, with all section numbering altered to accommodate the combination of the two previous documents. Please check that the section number to which you have been referred is correct. References to the appropriate section numbers in those previous regulations are given in parentheses at the end of each heading in this document.

Table of Contents

1	Purpose.....	2
2	Application of Regulations.....	2
3	Oversight of Regulations.....	2
4	Admission.....	3
4.1	Entry requirements (previously Regulations 4.1).....	3
4.2	Application process (previously Procedures 1.1).....	3
4.3	Selection of candidates (previously Procedures 1.2).....	3
4.4	Offer of place.....	4
5	Resources for postgraduate research (previously Procedures 1.3).....	4
6	Candidate's responsibilities (previously Procedures 6.6).....	5
7	Course of study (previously Regulations 4.2).....	5
7.1	Overall regulations for course of study.....	5
7.2	Theses in a language other than English or te reo Māori (previously Procedures 2.1).....	6
7.3	Including published work in a thesis (previously Procedures 2.2).....	6
7.4	Thesis word limits (previously Procedures 2.3).....	6
7.5	Withholding access to a thesis (previously Procedures 2.4).....	7
7.6	Coursework in the PhD (previously Regulations 4.3.1).....	7
7.7	Coursework in professional doctorates (previously Regulations 4.3.2).....	8
8	Enrolment and registration (previously Regulations 4.4).....	8
8.1	Conditions of enrolment (previously Regulations 4.4.1).....	8
8.2	Enrolment and registration procedures (previously Procedures 3).....	8
8.3	Initial enrolment and start dates (previously Procedures 3.1).....	8
8.4	Registration timeframes and annual process (previously Procedures 3.2).....	9
8.5	Ad hoc registration (previously Procedures 3.3).....	9
8.6	Conditions of registration (previously Regulations 4.4.2).....	9
8.7	Variations to enrolment and registration (previously Regulations 4.4.3).....	9
8.8	Conversion from a Victoria University of Wellington Master's by thesis to a PhD Degree (previously Procedures 3.4).....	10
8.9	Conversion from a PhD degree to a Master's by thesis degree (previously Procedures 3.5).....	11
8.10	Suspension of study (previously Procedures 3.6).....	11
8.11	Extensions beyond 48 months total registration (previously Procedures 3.7).....	13
8.12	Change of status from full-time to half-time and half-time to full-time (previously Regulations 4.4.3(e) and Procedures 3.8).....	13
8.13	Withdrawal from the programme (previously Regulations 4.4.3(f) and Procedures 3.9).....	14
8.14	Termination of enrolment (previously Regulations 4.4.3(g) and Procedures 3.10).....	14
9	Attendance at the University (previously Regulations 4.5).....	15
9.1	General regulations on attendance (previously Regulations 4.5 and Procedures 4.1).....	15
9.2	Duration of absence from the University (previously Procedures 4.2).....	16
9.3	Absence from the University for approved research purposes (previously Procedures 4.3).....	16
10	Provisional registration (previously Regulations 4.6).....	16
10.1	General regulations on provisional registration.....	16
10.2	Provisional registration (previously Procedures 5.1).....	17
10.3	Criteria for progression to full registration (previously Procedures 5.2).....	17
10.4	Research proposal (previously Procedures 5.3).....	17
10.5	Presentation of the proposal (previously Procedures 5.4).....	18
10.6	Application for full registration (previously Procedures 5.5).....	18
10.7	Outcomes of application for full registration (previously Procedures 5.6).....	19
11	Supervision (previously Regulations 4.7).....	20
11.1	Supervisory team (previously Regulations 4.7.1).....	20
11.2	Qualifications of supervisors (previously Regulations 4.7.2 and Procedures 6.1).....	20
11.3	Responsibilities of the School (previously Procedures 6.2).....	21
11.4	Academic supervisors (previously Regulations 4.7.3 and Procedures 6.3).....	21
11.5	The University Supervisor (previously Regulations 4.7.4 and Procedures 6.4).....	22
11.6	External supervisors (previously Regulations 4.7.5).....	22

11.7	Changes to the supervisory team (previously Regulations 4.7.6).....	22
11.8	External party involvement in candidature (previously Regulations 4.8)	22
11.9	Conflicts of Interest (previously Procedures 6.7).....	23
12	Evaluation and feedback (previously Regulations 4.9)	23
12.1	General regulations on evaluation and feedback.....	23
12.2	Progress reporting (previously Procedures 7.1)	23
12.3	Resolving performance issues (previously Procedures 7.2).....	23
12.4	Feedback on progress (previously Procedures 7.3).....	24
13	Submission of the thesis for examination (previously Regulations 4.10).....	24
13.1	Minimum registration (previously Procedures 8.1).....	24
13.2	Timeframe for submission (previously Procedures 8.2).....	24
13.3	General regulations regarding submission	24
13.4	Supervisor approval (previously Procedures 8.3)	25
13.5	Application for examination (previously Procedures 8.4).....	25
13.6	Submission of the thesis (previously Procedures 8.5)	26
14	Appointment of examiners (previously Regulations 4.11)	26
14.1	General regulations on appointment of examiners (previously Regulations 4.11 and Procedures 9.1)	26
14.2	The internal examiner (previously Procedures 9.2)	26
14.3	The New Zealand examiner (previously Procedures 9.3)	27
14.4	The overseas examiner (previously Procedures 9.4).....	27
14.5	Procedure for appointment of examiners (previously Procedures 9.5).....	27
15	Examination process (previously Regulations 4.12).....	28
15.1	General regulations for the examination process.....	28
15.2	Distribution of the thesis to examiners (previously Procedures 10.4)	28
15.3	Examination of the thesis (previously Regulations 4.12.1 and Procedures 10.1)	29
15.4	The viva (previously Regulations 4.12.2 and Procedures 10.2)	30
15.5	Examination outcome (previously Regulations 4.13 and Procedures 10.3).....	31
15.6	Corrections and amendments (previously Regulations 4.13.2 and Procedures 11.1).....	32
15.7	Revise and resubmit for a second examination (previously Regulations 4.13.1 and Procedures 11.2)	33
16	Award of the degree and notification of results (previously Regulations 4.14).....	33
17	Powers of the Dean FGR in respect of these regulations (previously Regulations 4.15)	34
18	Appeals (previously Procedures 13 and Regulations 4.16).....	34
19	Definitions	34
20	Related documents.....	36
21	Document management and control.....	36

1 Purpose

- 1.1 These regulations state the University's position and procedures regarding the entry requirements, enrolment, registration, supervision, and examination of candidates for the PhD and other doctoral degrees with theses.
- 1.2 The regulations give effect to the specifications of all doctoral degrees in the University Calendar including the Doctor of Philosophy (PhD) and the professional doctorates, including the Doctor of Musical Arts (DMA), Doctor of Education (EdD) and the Health Doctorates (DHLth, DMid, DNurs).

2 Application of Regulations

These are University-wide regulations that apply to staff members and to candidates and prospective candidates on doctoral programmes.

3 Oversight of Regulations

- 3.1 These regulations are overseen by the Board of the Faculty of Graduate Research.

Note: Unless otherwise stated:

- (a) Where reference is made to "School", this may refer also to an Institute or Centre where these take on the role of School and have the appropriate committee and administrative structures in place.
- (b) Where reference is made to a "School Committee", this may be set up at programme, school, or faculty level, depending on the relevant academic structure.
- (c) Where reference is made to "Head of School", the delegated authority in a School may vary according to the procedures operating in the individual School, provided that such delegations are formally approved by the Head of School.

Note: In addition to these regulations, there are a series of guidelines for different aspects of candidature. These are available on the Faculty of Graduate Research (FGR) website.

Regulations Content

4 Admission

4.1 Entry requirements (previously Regulations 4.1)

- (a) The entry requirements for doctoral degrees are detailed in the relevant entries in the University Calendar.

4.2 Application process (previously Procedures 1.1)

- (a) Applications for admission to all doctoral degrees are processed centrally by the Faculty of Graduate Research (FGR).
- (b) Applications are made online and the admission process is combined with applications for Wellington Doctoral Scholarships.
- (c) Applications are considered three times per year following 1 March, 1 July and 1 November closing dates for applications. Applications outside these closing dates may be considered in exceptional circumstances. These circumstances usually include the availability of external funding.
 - ☐ *Note: Applicants to the International Institute of Modern Letters are considered in July only.*
 - ☐ *Note: Applicants for the professional doctorates in Education and in Health may apply at any time, but commence Part 1 of their programme in March.*
- (d) Applicants are not required to identify a supervisor prior to making an application, although they may do so if they wish. Some Schools may choose not to consider applicants without such prior contact.
- (e) It is strongly recommended that Schools arrange an in-person meeting or video-conference with an applicant prior to making a final recommendation on their admission.
- (f) Admission recommendations are made by the School and Associate Dean (PGR) and outcomes are advised to the candidate by FGR. Individual supervisors may not give any undertaking of acceptance into the programme.
- (g) Applicants are required to submit a “statement of research interests” (not a research proposal), along with a sample of their academic writing and information about their previous research experience.
 - ☐ *Note: PhD candidates will develop a full research proposal during the period of provisional registration.*
 - ☐ *Note: Candidates for a professional doctorate develop a full research proposal during Part 1 of their programme.*
- (h) Full information and access to the online application process is available on the [FGR website](#).

4.3 Selection of candidates (previously Procedures 1.2)

- (a) The School Committee reviews applications for admission and also ranks applicants who have indicated that they wish to be considered for a Wellington Doctoral Scholarship.
- (b) An applicant may be offered a place when the School Committee recommends the applicant to the Dean FGR via the Associate Dean (PGR) and after consulting with the Head of School. The recommendation will confirm that:
 - (i) an adequate supervisory team can be formed; and

- (ii) the applicant's academic background is adequate; and
- (iii) adequate resources are available.
 - *Note: The appropriateness of the intended project to the general research strategy of the School may also be taken into account.*
- (c) An applicant is not required to have met the formal English language requirement at the time of application but must have done so before admission; any offer of place will be conditional upon their doing so. School Committees may, however, take account of any previous failures to reach that requirement.
 - *Note: It is not possible to have the English language requirement waived.*
- (d) The recommendation will also state whether individual requirements such as coursework are necessary (see section 7.6). If coursework is required, the offer of place must detail what grade the candidate is expected to achieve.
 - *Note: There are other constraints on coursework for PhD candidates which are detailed in section 7.6 of these Regulations.*
 - *Note: If coursework is required, dates of a teaching semester must be taken into account before agreeing a start date. A candidate who is unable to arrive in New Zealand in time to commence a prescribed course may not be enrolled.*
- (e) The home Faculty will provide a ranked list of applicants for consideration for scholarships by the University Research Scholarships Committee.

4.4 **Offer of place**

- (a) Applicants are advised by FGR within 6 weeks of the outcome of the application for admission and whether or not they will receive Wellington Doctoral Scholarship funding.
- (b) Admission to a doctoral programme may be rescinded prior to enrolment in the programme where information that was not available to FGR at the time the admission decision was made, and which would have resulted in a different decision being made, becomes available, or where, due to circumstances unforeseeable at the time of the decision, supervision and/or necessary resources will no longer be available for the enrolment.
- (c) Admission to a doctoral programme is valid for up to six months (or a maximum of 12 months in exceptional circumstances as approved by the Dean FGR) from the date of notification of admission to the programme. Where enrolment in the programme does not occur within that time, re-application for admission to the programme is required.

5 **Resources for postgraduate research (previously Procedures 1.3)**

- (a) The University undertakes to provide doctoral candidates with resources as agreed in the [Resource Agreement for Thesis Students \(RAFTS\)](#).
- (b) Schools will look carefully at the resourcing implications of an applicant's expression of interest. If they are unable to provide resources beyond the standard RAfTS, this should be made clear to the applicant before any offer of place is confirmed.
- (c) Candidates who require additional resources are expected to discuss these and document an agreement with their supervisor/s within one month FTE of initial enrolment. Any agreement must be approved by the Head of School and home Faculty Associate Dean (PGR) and reviewed at the time of the move from provisional to full registration.

6 *Candidate's responsibilities (previously Procedures 6.6)*

- (a) Completing a doctoral programme requires progressive development of skills, competence, and confidence. This includes:
 - (i) planning and actively pursuing the research;
 - (ii) identifying and dealing with problems;
 - (iii) complying with administrative requirements;
 - (iv) meeting ethical guidelines – this includes honesty in regard to data, which is dealt with under the Student Conduct Policy;
 - (v) giving three months notice of intention to submit;
 - (vi) taking responsibility for all aspects of the thesis as submitted for examination;
 - (vii) participating in University intellectual life.
- (b) For more information see [Responsibilities of PhD Candidates](#).

7 *Course of study (previously Regulations 4.2)*

7.1 *Overall regulations for course of study*

- (a) The course of study for a PhD degree consists of a programme of research and the completion of a thesis under supervision.
- (b) A PhD degree will normally consist of 36 months full-time (or equivalent) study with a period of provisional registration during the first 12 months.
- (c) For a professional doctorate, the course of study consists of mandatory coursework, a programme of research and the completion of a thesis under supervision.
- (d) For a professional doctorate, the mandatory coursework (Part 1) is completed within 12 months full-time (or equivalent) and prior to progression to the thesis (Part 2).
- (e) Where a candidate's registration exceeds 48 months full-time (or equivalent), they must apply to the Dean FGR for an extension of time (see section 8.11). Where candidates have changed between full-time and half-time this will be calculated on a pro-rata basis. Periods of suspension are not included in these calculations.
- (f) The thesis must be an integrated body of work that demonstrates the candidate's ability to carry out independent research according to approved ethical standards, to produce a significant and original contribution to knowledge or understanding, and to observe appropriate academic conventions of presentation.
- (g) A thesis with a creative component must reflect the theory and methodology of an academic framework; a mere account of the candidate's own creative process is not acceptable. A creative component must be appropriately balanced with original scholarly commentary.
- (h) The work submitted for examination may comprise one or more projects of creative activity conducted under supervision and organised around a central research theme or subject, and including an original scholarly commentary.
- (i) All theses must be presented in a format suitable for external examination and their findings must be open to formal evaluation by specialists in the field.
- (j) Theses may be submitted and assessed in te reo Māori provided the candidate has sought and been granted prior approval from the Dean FGR. Theses to be examined in te reo Māori must be written in, not translated into, te reo Māori.

7.2 *Theses in a language other than English or te reo Māori (previously Procedures 2.1)*

- (a) Candidates may submit a thesis in a language other than English or Māori only after permission has been granted by the Dean FGR. Such permission should be sought at the earliest opportunity and must be determined prior to the move to full registration. Permission will be given only if the use of the language is an essential element of the research and examiners can be appointed who will examine in that language.
- (b) Permission to submit a thesis in a language other than English or te reo Māori is only given in special circumstances and is not intended as a convenience to enable candidates to complete a thesis in their first language.
- (c) The application to submit in another language should ideally be considered when the School wishes to offer the applicant a place, or at enrolment but must be confirmed at the latest at the move to full registration.
- (d) The application requires the approval of the Dean FGR, and such approval must be formally given before confirmation of full registration.

7.3 *Including published work in a thesis (previously Procedures 2.2)*

- (a) Victoria University of Wellington does not offer an option for a thesis through publications that have been produced prior to enrolment.
- (b) The thesis may include the candidate's work that has been published or accepted for publication prior to the submission of the thesis for examination, provided that the research has been conducted under supervision during the period of enrolment. See the [Guidelines for including publications in a doctoral thesis](#) for information on what is and is not appropriate. Except as provided for within an approved co-tutelle arrangement, work submitted for another qualification, whether completed or not, at this or any other university may not be so included.
- (c) Candidates must abide by the [Recognising Authorship Guidance](#) when publishing their work.
- (d) When submitting their thesis for examination, candidates will be required to provide evidence that they have permission from the copyright holder to include the published work, even though they are the author. Refer to the [Guidelines for including publications in a doctoral thesis](#).

7.4 *Thesis word limits (previously Procedures 2.3)*

- (a) A PhD thesis must not exceed a total of 100,000 words in length and a thesis for a professional doctorate must not exceed 70,000 words. Individual professional doctorates may specify a lower limit (see (b) below).
- (b) Agreed word limits that deviate from the above are as follows:
 - (i) Doctor of Musical Arts – 40,000
 - ☐ *Note: There is no prescribed minimum word count for a thesis, but examiners are asked to determine whether or not the thesis makes a 'substantial' contribution to its field.*
 - ☐ *Note: A check on the word limit is included in the Candidate Development Plan (CDP) as a reminder to regularly review the scope of the research project.*
- (c) The word limit includes 'everything that the examiner needs to read' including necessary information such as the abstract, reference list or bibliography, footnotes or endnotes and essential appendices.
- (d) Non-examinable but useful information, in addition to that required in (c) above, such as extensive data sources, questionnaires, the text to be translated or extensive tables, may be appended to the thesis. Such material is not included within the word limit and examiners are not required to read it.

- (e) Permission to exceed the word limit will be considered in exceptional circumstances only. The breadth or depth of the study undertaken does not constitute an exceptional circumstance; nor does proximity of intended submission.
 - *Note: The Board of the Faculty of Graduate Research has agreed that a PhD in Creative Writing or in Translation Studies may be approved a limit of up to 120,000 words on application to the Dean FGR using the process in paragraph (f) below.*
- (f) Where there are good grounds for exceeding the word limit the candidate and supervisor(s) must make the case for exemption in writing to the Dean FGR, normally no later than at the time of transition from provisional to full registration. They will be advised of the outcome of the application by the FGR examinations team, who will retain a copy of the permission on the candidate's file.
- (g) Requests to exceed the length requirements of the doctoral thesis must be made in Panoho.
- (h) If the examination process results in corrections and amendments, or revise and resubmit for a second examination, the relevant word limit will continue to apply unless the examiners explicitly affirm that the limit may be exceeded.

7.5 ***Withholding access to a thesis (previously Procedures 2.4)***

- (a) Theses are expected to be publicly available through the Research Archive in the University Library.
- (b) Where there are cogent and compelling reasons why a thesis should not be publicly available, candidates should apply to the Dean FGR to withhold access as soon as the need for an embargo becomes apparent.
- (c) The withholding of theses is subject to the Withholding of Theses Procedure.

7.6 ***Coursework in the PhD (previously Regulations 4.3.1)***

- (a) Coursework is not mandatory in the PhD, but individual candidates may be required by the Associate Dean (PGR) to undertake coursework as part of the PhD. Where candidates are so required, the following conditions apply:
 - (i) the courses taken will not normally exceed 60 points in total;
 - (ii) the courses will be completed within the provisional registration period unless the Dean FGR approves a later date;
 - (iii) the coursework should be relevant to the proposed research topic and necessary to the successful completion of the research proposal and acceptance into full registration;
 - (iv) the courses may count towards the research proposal and full registration but will not contribute towards the outcome of the degree;
 - (v) where candidates are expected to achieve specific standards in the courses in order to progress to full registration, these should be specified in the Offer of Place.
- (b) Candidates will not be expected to pay additional tuition fees for courses specified in (a) above. Fees will apply for any courses undertaken once a candidate has achieved full registration.
- (c) Coursework undertaken as a requirement of the provisional registration period shall not of itself permit the award of any qualification. A candidate who does not proceed to full registration, but who has passed courses during the provisional period, may credit those courses to a certificate or diploma programme as allowed under the relevant qualification statute.

7.7 Coursework in professional doctorates (previously Regulations 4.3.2)

- (a) Professional doctorates include mandatory coursework as specified in the relevant qualification. This is undertaken as Part 1 of the qualification and satisfactory completion of the coursework is a requirement for achieving full registration
- (b) Coursework other than that specified as a requirement for Part 1 is not normally permitted within a professional doctorate.

8 Enrolment and registration (previously Regulations 4.4)

8.1 Conditions of enrolment (previously Regulations 4.4.1)

- (a) A candidate must be enrolled continuously until:
 - (i) the completed thesis is lodged in the University library; or
 - (ii) the candidate withdraws from the degree; or
 - (iii) the University terminates the candidate's enrolment; or
 - (iv) the candidate fails the qualification.
- (b) Continued enrolment is conditional upon satisfactory progress being made. Progress is evaluated throughout the candidature and is formally monitored in the six monthly progress reports and at the move from provisional to full registration.
- (c) If a candidate has been neither registered nor suspended for a period of three consecutive months, the Dean FGR may deem the candidate to have withdrawn from the degree.

8.2 Enrolment and registration procedures (previously Procedures 3)

- (a) Enrolment covers the period from a candidate's start date until the final copy of the thesis is lodged in the University Library, or one of the other outcomes provided for in section 8.1(a) applies. Within the enrolment period, candidates are registered for supervision and required to pay tuition fees. The Student Services Levy is attached to the enrolment and so remains payable even during a period of suspension.
- (b) Except for any approved periods of suspension or while under examination, a candidate is required to be registered and to pay tuition fees.

8.3 Initial enrolment and start dates (previously Procedures 3.1)

- (a) All doctoral candidates are required to make an appointment to enrol in person with a Postgraduate Research Student Adviser at the Faculty of Graduate Research.
- (b) The first period of registration for a PhD candidate is from their start date until 31 December of the first year – see section 8.4 regarding annual re-registration.
- (c) Start dates are on the 1st of the month from February to November only. Due to the Christmas closedown period, it is strongly recommended that candidates do not start in December or January; candidates wishing to start in December or January must have the approval of the Associate Dean (PGR) in their home Faculty.
- (d) Candidates who arrive mid-month will commence their enrolment from the first of the following month. Enrolment cannot be 'back-dated' to commence prior to the candidate's arrival.
- (e) For further information refer to the [FGR website](#)

□ *Note: Cohort based programmes and most professional doctorates have one start date per year (usually in March).*

- *Note: Where a candidate has a course specified on their Offer of Place, Schools must ensure that the candidate's start date is consistent with the course dates.*

8.4 **Registration timeframes and annual process (previously Procedures 3.2)**

- (a) After the first period of registration, candidates are then re-registered (through a central process administered by the FGR) each year from 1 January until 31 December until the year in which they expect to submit their thesis for examination.
- (b) Each year in September candidates are advised that they will be re-registered for a further 12 months, comprising the following calendar year, unless they are withdrawing, suspending their study or they are eligible for a shorter period of registration of three, six or nine months prior to submission for examination.
- (c) Candidates who do not wish to be re-registered for the full calendar year must complete an Exception Form and return it to the FGR by the required deadline. Registration for a shorter period of time is subject to approval from the School.
 - *Note: The annual process is complex as it involves checking and updating the records of all doctoral research students. It is coordinated by the FGR who need to work with the Schools, the Scholarships Office, the Fees Office, and the Enrolments Team. Candidates can expect enrolments to be uploaded into the Student Record systems some time in November or December.*

8.5 **Ad hoc registration (previously Procedures 3.3)**

- (a) Ad hoc registration is managed by the Postgraduate Research Student Advisers in the Faculty of Graduate Research. This applies when a candidate:
 - (i) returns after an approved suspension of study; or
 - (ii) misses the annual registration process; or
 - (iii) seeks a change of registration after the annual process has closed; or
 - (iv) has had a shorter period of registration approved (3, 6, or 9 months) but does not submit before the end of their registration period (31 March, 30 June, 30 September) and needs to register for a further period.

8.6 **Conditions of registration (previously Regulations 4.4.2)**

- (a) Initially a candidate shall be provisionally registered for the doctoral degree (see section 10 for details about provisional registration and the requirements to move to full registration). For the purposes of these regulations, enrolment in Part 1 of a professional doctorate shall be deemed to be provisional registration.
- (b) Candidates must be registered for the three months immediately prior to submission of the thesis for examination.
- (c) If a candidate fails to pay their fees for three consecutive months, the Dean FGR may deem the candidate to have withdrawn from the degree (see section 8.13).

8.7 **Variations to enrolment and registration (previously Regulations 4.4.3)**

- (a) As provided for in the relevant procedures, changes may occur for the following reasons:
 - (i) Conversion from a Master's by thesis degree to a PhD degree where a

candidate has not yet submitted the Master's thesis for examination (see section 8.8).

- (ii) Conversion from a PhD degree to a Master's by thesis degree where a candidate has not yet submitted the PhD thesis for examination (see section 8.9).
- (iii) Suspension of study (see section 8.10).
- (iv) Extensions beyond 48 months of total registration (see section 8.11).
- (v) Changing from full-time to half-time or half-time to full-time (see section 8.12).
- (vi) Withdrawing from the programme (see section 8.13).
- (vii) Termination of enrolment (see section 8.14).

8.8 Conversion from a Victoria University of Wellington Master's by thesis to a PhD Degree (previously Procedures 3.4)

- (a) See also Master's Thesis Regulations section 15.
- (b) A candidate who has not submitted their Master's thesis (90 points or 120 points) for examination may apply to convert their enrolment from a Master's thesis degree into a PhD degree.
- (c) An application to convert the thesis should normally be made within 9 months full-time (or equivalent) of initial enrolment.
- (d) Applications should be finalised, and the PhD enrolment confirmed, within 11 months of registration for the Master's thesis; exceptions require the approval of the relevant Associate Dean (PGR).
 - *Note: A research portfolio cannot normally be converted to a PhD. Any such conversion must be approved by the Dean FGR.*
- (e) An application must have support from the current supervisor/s and be made in Panoho.
- (f) Supervisor/s must:
 - (i) confirm that the topic can be extended in a manner suitable to provide a PhD project; and
 - (ii) confirm that the candidate has demonstrated the aptitude and level of competence required for PhD study, including English language proficiency.
- (g) The supervisor/s and the candidate must agree in writing the additional work to be undertaken and this document must be submitted with the application.
- (h) The School Research Committee (SRC) must also approve the application. It must, in consultation with the Head of School, confirm:
 - (i) that the candidate is a suitable candidate to be transferred to a PhD; and
 - (ii) that the project can be extended in a manner suitable to provide a PhD project; and
 - (iii) that adequate supervision is available, with an indication of who the new supervisory team will be (the supervisor/s of the Master's thesis will not necessarily remain on the PhD supervisory team); and
 - (iv) that adequate resources to support the research project are available.
- (i) If the SRC is unable to recommend acceptance of the application to convert, it should so inform the candidate, explaining why. The decision of the SRC not to confirm a conversion is final.

- (j) Final approval of the conversion from a Master's thesis is by the relevant Associate Dean (PGR).
- (k) A candidate seeking to upgrade from a Master's to a PhD does not need to apply online in the PhD admission system. Instead application information and approvals are recorded in Panoho. Applications may be considered at any time.
- (l) If candidates wish to be considered for a Wellington Doctoral Scholarship they may apply in a subsequent round.
- (m) The date of first enrolment for the Master's degree becomes the date of provisional registration for the PhD.
- (n) Candidates who convert from a Master's degree to a PhD are required to satisfy all requirements for full registration (see section 10).

8.9 ***Conversion from a PhD degree to a Master's by thesis degree (previously Procedures 3.5)***

- (a) Conversion from a PhD to a Master's may occur:
 - (i) by decision of a candidate in conjunction with their supervisor/s at any time during candidature prior to submission of the thesis for examination; or
 - (ii) as a result of a decision of the School Research Committee that a candidate does not meet the standard for achieving full registration; or
 - (iii) as a result of a decision of the examiners.
- (b) Conditions apply and are detailed in the Procedure for converting from a PhD degree to a Master's Thesis degree. It is essential that these conditions are read in advance of any such conversion being recommended or application being made. Particular attention must be paid to the visa implications for international candidates.
- (c) An application to convert to a Master's degree as in (i) must be made in Panoho, justifying the change. The written support of the academic supervisors and Head of School are needed, as is the agreement of the candidate. The conversion is approved by the Associate Dean (PGR).
- (d) Where the conversion is as a result of (ii) the decision will be documented in Panoho and approved by the Associate Dean (PGR).
- (e) Where the candidate is a scholarship holder, the School must advise the Scholarships Office of the candidate's change in circumstances.
- (f) Where a Master's degree is awarded as an outcome of the PhD examination process (see section 15.5(b)), as determined by the Dean FGR, this is processed by FGR.

8.10 ***Suspension of study (previously Procedures 3.6)***

- (a) Suspensions are intended to provide for exceptional personal situations during which a candidate is unable to undertake significant research. Such situations include such as parental leave, protracted illness on the part of the candidate or a close relative, and requirements from employers. Wherever possible, applications should be made in advance.
- (b) Short-term absences from the University, such as "annual leave" (up to a total of four weeks per annum), statutory holidays, conference attendances, academic meetings and short-term illness should be advised to the supervisor and the postgraduate co-ordinator or school administrator and noted in Panoho, but do not constitute grounds for a suspension of study.
- (c) During a suspension a candidate will pay no tuition fees and will receive no supervision, though they continue to be enrolled. While on suspension, a candidate is expected to do no substantial work on their research or their

thesis.

- (d) Applications for a suspension of study need to include:
 - (i) a statement from the candidate giving the reason for requesting a suspension, plus supporting evidence if appropriate, e.g., a doctor's certificate or letter from an employer; and
 - (ii) a statement from the primary supervisor indicating support or otherwise of the suspension.
- (e) Applications for suspension of study are to be made in Panoho.
- (f) Scholarship holders must advise the Scholarships Office of their intention to suspend. Scholarship payments will be suspended and only reinstated when the candidate formally advises the Scholarships Office that they have resumed study (i.e., rather than payments being automatically reinstated at the end date of the suspension).
- (g) Suspensions are granted in whole months (but need not be timed to begin on the first of a month) and will not normally exceed 12 calendar months in total across all suspensions. Restrictions apply to international candidates and to holders of scholarships. (See below).
 - *Note: Immigration New Zealand (INZ) regulations mean that international candidates may only suspend their study for up to a total of three months within any 12 month period, to a total of 12 months over the duration of their candidature. INZ must be notified of all periods of suspension. International candidates considering applying to suspend their study should contact the Visa Officer at Wellington University International for advice.*
 - *Note: International candidates are not permitted to suspend their study in order to engage in paid employment (INZ regulations).*
- (h) Holders of Wellington Doctoral Scholarships are normally limited to six months suspension in total and scholarship payments are also suspended during an approved period of suspension.
 - *Note: Holders of other scholarships are likely to have restrictions on suspension and should check the conditions of their scholarship award.*
- (i) The approval of the Dean FGR is required for applications which:
 - (i) take the total period of suspension beyond 12 months during a candidacy; or
 - (ii) are made by a candidate who is revising and resubmitting the thesis for a second examination; or
 - (iii) request a retrospective suspension (in whole or in part) except in cases where the retrospective suspension is on medical grounds attested by evidence from a medical professional (e.g., a doctor's letter or a letter from a registered counsellor).
- (j) The Associate Dean (PGR) in the home Faculty may approve any other requests for suspension.
- (k) Particularly good grounds and evidence will be required for a retrospective suspension as the University will have claimed government funding and scholarship payments will have been made. An application for a retrospective suspension should be made as soon as possible after the event which gives rise to the claim for a retrospective suspension. Applications made more than two months after the event are unlikely to be approved.
- (l) Where an application for a suspension is declined, the candidate may continue with the period of registration or withdraw from the degree.

8.11 ***Extensions beyond 48 months total registration (previously Procedures 3.7)***

- (a) Candidates are normally expected to have submitted their doctoral thesis within 48 months FTE of initial enrolment.
- (b) The DQ7+ funding from the government ceases at 48 months full-time (or equivalent). DQ7+ is “Delivery at Level 7 (degree) and above on the New Zealand Qualifications and Credentials Framework”, previously known as “Student Achievement Component” or “SAC” funding.
- (c) An extension to a candidate’s registration may be granted on application to the Dean FGR. Calculations will exclude any periods of suspension.
- (d) Consideration of extensions shall take account of the candidate’s personal circumstances and the nature of the research project.
- (e) No more than 12 months extension will be approved at any one time.
- (f) An extension which takes the total time under full-time supervision beyond six years (72 months) will not normally be granted. An extension which takes the total time under part-time supervision beyond nine years (108 months actual time; 54 months FTE) will not normally be granted. A candidate who has had periods of both full- and part-time registration will have a pro-rata limit.
- (g) Applications for extensions are to be made in Panoho.
- (h) All applications require;
 - (i) a reasonable justification for a specified period of time (with supporting information); and
 - (ii) submission of a timeline detailing the steps to completion; and
 - (iii) support of supervisor/s; and
 - (iv) sign off by the Head of School or delegate of any funding and workload implications
 - (v) approval of the Associate Dean (PGR); and
 - (vi) final approval from the Dean FGR.
- (i) Extensions must be requested in whole calendar months and normally no more than 12 months extension will be approved.
- (j) Further requests for extensions, without significant evidence of progress, may be declined and the candidate’s enrolment may be terminated.

8.12 ***Change of status from full-time to half-time and half-time to full-time (previously Regulations 4.4.3(e) and Procedures 3.8)***

- (a) The normal expectation is that PhD candidates will be full-time. A candidate’s initial status as a half-time candidate, or changes between half-time and full-time status, require the approval of the Associate Dean (PGR).
 - *Note: Visa holders have stricter conditions imposed by Immigration New Zealand.*
- (b) Applications should be made in Panoho. Approval is by the Associate Dean (PGR) in the home Faculty.
- (c) Scholarship holders who are contemplating a change of status must consider the conditions of their scholarship. Wellington Doctoral Scholarships require candidates to be registered full-time.
- (d) International candidates on a study visa are required by Immigration New Zealand to be enrolled full-time, unless they have a variation of conditions noted on their visa.

8.13 *Withdrawal from the programme (previously Regulations 4.4.3(f) and Procedures 3.9)*

- (a) A candidate may withdraw from the doctoral degree programme by informing the Faculty of Graduate Research in writing of their intention to do so.
- (b) Candidates withdrawing from a doctoral programme should notify this in Panoho.
- (c) Candidates should discuss their intention to withdraw with their supervisory team in advance, and are advised to consider whether other alternatives, such as suspending study for a period or converting to a Master's degree might be appropriate. Conditions apply to conversion to a Master's degree.
 - *Note There are likely to be visa implications for international candidates who withdraw from the programme, or who seek to transfer to another programme in this an any other institution.*
- (d) Under any of the following circumstances a candidate will be deemed to have withdrawn:
 - (i) The candidate allows their enrolment to lapse by not having paid fees within three months of the due date for payment and without having made any alternative arrangement with the University; or
 - (ii) The candidate fails to attend a viva (an oral examination of the thesis); or
 - (iii) The candidate fails to complete the required corrections and amendments to the thesis within the approved timeframe without having been granted an extension; or
 - (iv) The candidate fails to deposit the thesis in the University Library within three months of having the corrections and amendments signed off without having made any alternative arrangements with the University.
- (e) If a candidate has been neither registered nor suspended for a period of three consecutive months, the Dean FGR may deem them to have withdrawn.
- (f) Any appeal in relation to (d)(i) to (iv) or to (e) should be made to the Dean FGR in writing and within 20 days of the relevant event unless the Dean FGR approves otherwise.

8.14 *Termination of enrolment (previously Regulations 4.4.3(g) and Procedures 3.10)*

- (a) Without limiting any other statute, policy, or regulation, the Dean FGR may terminate a candidate's enrolment:
 - (i) If a candidate does not meet the requirements for movement from provisional to full registration (see section 10.7(e)).
 - (ii) If a candidate does not demonstrate sustained satisfactory progress.
- (b) Any candidate whose enrolment has been terminated or who has withdrawn from the degree and who wishes subsequently to undertake a doctoral degree must re-apply to the Dean FGR for entry to the programme.
- (c) Any appeal in respect of 8.14(a)(i) and (ii) should be made to the Deputy Vice-Chancellor Research in writing and within 20 working days of the notification of termination unless the Deputy Vice-Chancellor Research approves otherwise.
- (d) Scholarship holders must inform the Scholarships Office of any changes in

their registration or enrolment status.

- (e) Where the Associate Dean (PGR) accepts a School Research Committee recommendation to terminate a candidate's enrolment, this must be referred to the Dean FGR for final approval.
- (f) It is expected that the concerns leading up to the recommendation for termination of enrolment will have been discussed with the candidate who will have been given adequate opportunity to address these.
- (g) The final outcome will be formally communicated to the candidate in writing by the Dean FGR.
- (h) A candidate whose enrolment is terminated by the University will pay fees until the date on which the decision to terminate is notified and may have refunded any fees paid in advance for the period beyond that date (with the refund calculated in twelfths of the annual fees). Scholarships payments, if any, will also cease and the candidate may be required to repay any stipend payments made in advance of the date of termination.
- (i) Where, as a result of the examination process, a candidate is required to make corrections and amendments (up to six months), they are not required to pay fees, but will be using University resources. It is important therefore that they re-present the thesis within the specified time frame or apply to the Dean FGR for an extension; failure to do so will result in termination of the candidature.

9 Attendance at the University (previously Regulations 4.5)

9.1 General regulations on attendance (previously Regulations 4.5 and Procedures 4.1)

- (a) The doctoral degree is awarded for work done under direct supervision and it is expected that candidates will attend the University on a regular basis and participate in the intellectual life of the School and the wider University.
- (b) For the purposes of this section, attendance at the University does not preclude:
 - (i) attendance at some other institution in the Wellington area at which supervision is being provided for the candidate;
 - (ii) attendance at an overseas university under a co-tutelle arrangement. Refer to the [Guidelines for Co-tutelle PhDs](#);
 - (iii) regular breaks such as "annual leave" (of up to four weeks in total per annum), statutory holidays, short-term illness, conference attendances and academic meetings.
- (c) In some circumstances, however, approval may be given for candidates who do not reside locally to enrol for a doctoral degree and undertake their programme of study as a distance candidate. Candidates who wish to be enrolled for distance study must meet the conditions as stipulated in the [Doctoral Study by Distance Guidelines](#) and must gain the necessary approval (see (d) below).
- (d) Applications for distance enrolment that involve a placement at a recognised research institution may be approved by the Associate Dean (PGR); all other applications must be approved by the Dean FGR.
- (e) Irrespective of whether a candidate is attending the University or has approval for distance study, from time to time there may be a legitimate need to undertake a period of research at some other location e.g., laboratories, libraries, museums (see section 9.3 below). In all such situations, a written agreement is required and must be approved by the Associate Dean (PGR) or, for candidates required to revise and resubmit, by the Dean FGR.

□ *Note: Restrictions apply to visa holders.*

- (f) Except as provided for in the Fees Statute in respect of international students, candidates will pay the appropriate tuition fees (according to their discipline) regardless of where they work on their doctoral research.

9.2 ***Duration of absence from the University (previously Procedures 4.2)***

- (a) Government requirements mean that international candidates studying for a PhD in New Zealand on a study visa are limited to 12 months total absence from New Zealand during the PhD for approved research purposes, and absence prior to full registration is limited to three months.
- (b) Domestic candidates (including Australians) are not limited to 12 months absence from New Zealand overall but are normally limited to three months absence during provisional registration.

9.3 ***Absence from the University for approved research purposes (previously Procedures 4.3)***

- (a) If a candidate needs to work at a location other than the University, the period away must be covered by an agreement and approved by the School Research Committee.
- (b) The work undertaken at the alternative location must be research that is directly related to the candidate's own topic. Writing up a thesis does not qualify under this heading.
- (c) An application to undertake PhD research away needs to be completed in Panoho.
- (d) Scholarship holders must advise the Scholarships Office that they have approval to be absent from the University and provide the Scholarships Office with a copy of the agreement.
- (e) Candidates who have been required to revise and resubmit may not undertake research away from the University except with the permission of the Dean FGR.

10 ***Provisional registration (previously Regulations 4.6)***

10.1 ***General regulations on provisional registration***

- (a) Candidates are provisionally registered for the doctoral degree when they first enrol. The purpose of provisional registration is:
 - (i) to allow the candidate time to develop a proposal for the thesis;
 - (ii) to allow a period in which coursework can be undertaken if required;
 - (iii) to allow the candidate to demonstrate their suitability as a candidate for the degree, by meeting the requirements established by the School or programme;
 - (iv) to allow the candidate to demonstrate any necessary language capability other than that required for general admission to the University.
- (b) Provisional registration will not normally exceed 12 months (24 months half-time) and candidates are required to submit a research proposal, to apply for full registration, and to be assessed by the School Research Committee within that time. After consideration of the submitted application by the School Research Committee, a further three months of provisional registration may be granted by the Associate Dean (PGR) to make the necessary changes.
- (c) If a candidate does not meet the standard for full registration, the Dean FGR may terminate the candidate's enrolment.

10.2 ***Provisional registration (previously Procedures 5.1)***

- (a) During the period of provisional registration candidates (in conjunction with their primary supervisor or co-supervisors) are expected to establish and make satisfactory progress on agreed-upon performance standards. Indicators of satisfactory progress may include those listed below. Most of these will be demonstrated in the full research proposal:
 - (i) knowledge of literature in the field of study;
 - (ii) the ability to summarise, interpret and critique that literature;
 - (iii) the ability to design research tasks;
 - (iv) the ability to summarise, interpret and evaluate data;
 - (v) the ability to communicate research findings in formats appropriate to the discipline;
 - (vi) the ability to argue a case;
 - (vii) satisfactory completion of any required coursework.
- (b) Each School should ensure that provisionally registered candidates are aware of the standards expected with respect to applicable indicators of progress.
- (c) It is the School's responsibility to document the progress of all candidates (see section 12). This is particularly important during provisional registration and any concerns about the candidate's ability to meet the standards for doctoral study should be noted.
- (d) It is expected that candidates will be involved in discussions about their progress and given appropriate opportunities to address any identified shortcomings.

10.3 ***Criteria for progression to full registration (previously Procedures 5.2)***

- (a) To progress from provisional to full registration, the candidate must:
 - (i) write a full research proposal (see section 10.4 below) the length of which is determined by School regulations; and
 - (ii) meet any School or programme requirements developed by the School Research Committee and approved by the Associate Dean (PGR); and
 - (iii) meet any individual requirements imposed by the School.
- (b) Candidates for a professional doctorate must satisfactorily complete all of the requirements of Part 1 (as specified in the regulations for the particular degree) before progressing to Part 2. Successful completion of Part 1 is considered to be equivalent to achieving full registration.
- (c) It is strongly recommended that each candidate should present a seminar on their work, either as a requirement for movement from provisional to full registration or soon after movement to full registration, in order to gain experience in oral presentation of academic work and to realise the benefits of collegial discussion of the work-in-progress (see section 10.5 below).
- (d) Schools or programmes must publish information about their specific requirements in (a)(ii) above. The requirements should also be discussed with enrolling candidates and included in school orientations or briefings for new PhD candidates.
- (e) All full research proposals may be submitted to the University's plagiarism detection software. In the event of plagiarism being detected please refer to the [Student Conduct Statute](#).

10.4 ***Research proposal (previously Procedures 5.3)***

- (a) As appropriate for the discipline and as published by the School, full research proposals should contain some or all of the following elements:

- (i) a literature review;
 - (ii) an outline of the basic thesis/research question;
 - (iii) discussion of appropriate theoretical framework(s);
 - (iv) details of appropriate methodology;
 - (v) details of any special resources or equipment required (beyond what is specified in the Minimum Resources Agreement);
 - (vi) a statement as to whether the research requires ethics approval and, if so, when it will be sought; if approval has already been granted for the proposed research or for preliminary work, this should be noted;
 - (vii) a discussion of any intellectual property issues to which the research may give rise;
 - (viii) a statement that there are no foreseeable cultural, social or legal impediments to the successful completion and/or publication of the research;
 - (ix) a tentative timetable for the completion of the thesis, including preliminary goals for the next six months.
- (b) If the thesis will include non-standard material (compositions, designs, works of film or theatre, performances and so on), the proposal must detail this and the School Research Committee must satisfactorily resolve any challenges involved in examining and archiving such material.
- ☐ *Note: See also Section 13.6(c) about approval for non-electronic submission of theses and related material.*

10.5 ***Presentation of the proposal (previously Procedures 5.4)***

- (a) Schools/programmes are free to determine the format of presentations, including determining whether an oral presentation is required.
- (b) Candidates must know in advance whether or not the presentation is open to other staff or students, whether any member of the audience may ask questions, and who will be responsible for any formal assessment of the proposal and presentation.
- (c) Candidates can expect to receive questions and feedback from those in attendance. Any feedback should be documented for the candidate's reference.

10.6 ***Application for full registration (previously Procedures 5.5)***

- (a) PanoHo will provide automated reminders that the registration date is approaching.
- (b) Applicants are required to meet all applicable criteria in section 10.3 above.
- (c) It is normally expected that the application will be received in good time so that the School Research Committee can complete its assessment of the application within 12 months of provisional registration (or equivalent). In any case, applications for full registration must be made within 12 months of provisional registration (or equivalent). The extension that may be available under 10.7(c)(iii) (below) can only be granted after consideration of the application. It cannot be used to delay the application until 15 months. Failure to apply for full registration within 12 months may be grounds for termination of candidature.
- (d) The School Research Committee (SRC) will scrutinise applications to advance to full registration or may set up an *ad hoc* committee of not fewer than three members to do this.
- (e) The SRC should determine:
 - (i) that the candidate has sufficient knowledge and understanding of the research topic; and

- (ii) that the candidate has demonstrated the skills and ability required to complete a successful doctoral thesis; and
- (iii) that the research proposal outlines an appropriate theoretical framework which will lead to a defensible thesis; and
- (iv) that the proposed research is original or adds value to existing knowledge; and
- (v) that the research can be placed into the existing body of knowledge – for this purpose a summary of the recent research literature relevant to the topic must be included; and
- (vi) that where the School requires presentation of the proposal as a condition of moving to full registration, this has been satisfactorily completed; and
- (vii) that any other School/programme requirements have been satisfactorily met; and
- (viii) that any necessary coursework (see sections 7.6 and 10.1(a)(ii)) undertaken within the provisional registration period has been completed successfully and assessed at the required standard; and
- (ix) that any individual requirements imposed by the School as a condition of the candidate's provisional registration have been satisfactorily completed.

10.7 ***Outcomes of application for full registration (previously Procedures 5.6)***

- (a) In Panoho, the School Research Committee (SRC) may make one of the following recommendations to the Associate Dean (PGR):
 - (i) that the candidate's movement to full registration should be approved; or
 - (ii) that the research proposal should be revised and resubmitted (with a timeframe for doing so); or
 - (iii) that the candidate should convert their enrolment to a Master's by thesis degree; or
 - (iv) that the candidate's registration should be terminated.
- (b) Where the criteria outlined in section 10.6(e) above are met, the SRC will recommend that full registration be confirmed.
- (c) Where the recommendation is that the proposal be revised and re-submitted:
 - (i) The SRC must believe that the candidate is capable of correcting the proposal within a suitable timeframe (see (iii) below) and then going on to successful doctoral study.
 - (ii) The SRC must provide clear written feedback to the candidate regarding what is required to meet the requisite standards and must specify a timeframe within which the candidate needs to re-apply for approval.
 - (iii) If revisions will take the period of provisional registration beyond 12 months for full-time candidates or 24 months for half-time candidates, the SRC must recommend to the Associate Dean (PGR) that the period of provisional registration be extended. The maximum extension permitted is three months (full-time equivalent).
- (d) Where the recommendation is to convert to a Master's by thesis degree the processes in section 8.9 above will apply. Refer to the [Procedure for converting from a PhD degree to a Master's Thesis degree](#).
- (e) Where the recommendation is to terminate registration:

- (i) The SRC should meet with the candidate and explain face-to-face why this action is recommended and what support is available to the candidate. The candidate should also receive the decision in writing.
- (ii) The candidature is terminated by the Dean FGR on the advice of the Associate Dean (PGR) (see section 8.14).

11 Supervision (previously Regulations 4.7)

11.1 Supervisory team (previously Regulations 4.7.1)

- (a) Each doctoral degree candidate will be assigned a supervisory team consisting of at least two academic supervisors, one of whom will be designated the University Supervisor (see section 11.5).
- (b) The University Supervisor is also usually the primary supervisor except where a scholar from outside the University has been appointed to the supervisory team and is in the role of primary supervisor.
- (c) As appropriate, additional advisors may be invited to affiliate with the supervisory team to provide specific or specialised support to the candidate.
- (d) The supervisory team is approved by the Associate Dean (PGR).

11.2 Qualifications of supervisors (previously Regulations 4.7.2 and Procedures 6.1)

- (a) All members of the supervisory team will be suitably qualified scholars.
- (b) Academic supervisors must:
 - (i) have a PhD and/or an established research record; and
 - (ii) have sufficient appropriate academic knowledge of the research topic; and
 - (iii) have capacity in their workload to act as a supervisor for the duration of the candidature; and
 - (iv) have completed a Victoria University of Wellington supervisor training session.
- (c) Primary supervisors and University Supervisors must have previous experience supervising doctoral candidates for at least 12 months (which may be as a supervisor, co-supervisor or secondary supervisor), or successful supervision of Master's thesis candidates to completion. This experience may have been gained at Victoria University of Wellington or at another university. Heads of School have the discretion to require more experience of supervision prior to appointing someone as a Primary Supervisor or University Supervisor.
- (d) Academic supervisors must also have completed FGR's Orientation to Postgraduate Research Supervision programme. It is the responsibility of the Head of School to confirm that a prospective supervisor has completed the necessary orientation; records of attendance are held by FGR.
- (e) Except with permission of the Dean FGR, members of the supervisory team must not have any conflicts of interest as defined by the University's Conflicts of Interest Statute. Disclosure of any conflicts of interest with regard to doctoral candidates should be made to the Dean FGR.
- (f) The University Supervisor must be a member of the academic staff at the University or a Victoria University of Wellington scholar in an equivalent continuing research position.
- (g) A former Victoria University of Wellington academic staff member may be part of a supervisory team, on appointment as an Honorary Research Associate (see section 11.6), but may not fulfil the role of the University

Supervisor.

11.3 ***Responsibilities of the School (previously Procedures 6.2)***

- (a) The School that accepts a candidate, and in which the candidate is registered, has a range of responsibilities as detailed below. Formally, the responsibilities belong to the Head of School who may delegate, as appropriate within the School, to the SRC or its convenor or to a postgraduate co-ordinator. The School must ensure that:
 - (i) At least two appropriately qualified supervisors who have the expertise and workload allocation to supervise the candidate's research are appointed to the supervisory team;
 - (ii) School resources are provided to support the research project to completion;
 - (iii) supervision and candidature arrangements comply with University policies;
 - (iv) changes to the supervisory team are notified to the home Faculty and the Wellington Faculty of Graduate Research (FGR) in Panoho;
 - (v) if the primary supervisor is away for more than a month, appropriate supervision arrangements are in place;
 - (vi) problems involving any aspect of candidature are addressed promptly;
 - (vii) suitable examiners of the thesis are recommended to the Dean FGR;
 - (viii) the quality of supervision is monitored;
 - (ix) the Scholarships Office is advised of any changes of enrolment.

11.4 ***Academic supervisors (previously Regulations 4.7.3 and Procedures 6.3)***

- (a) Academic supervisors are responsible to the School and to the wider University. Their role is to provide expertise in the topic of the thesis and research supervision. They are expected to supervise candidates to undertake research and to complete the thesis within an agreed time frame, and to encourage the highest possible academic standards.
- (b) Academic supervisors have responsibilities to their supervisees, to the wider academic community involved in the subject area(s) within which the thesis is being written, to their Schools and to the University.
- (c) Academic supervisors are expected to assist candidates to complete the research within an agreed time frame, to maintain and enhance the reputation of the School and the University, and to encourage the highest possible academic standards. This includes taking reasonable steps consistent with available resources:
 - (i) to provide a framework within which the academic work can take place;
 - (ii) to provide academic guidance;
 - (iii) to facilitate and assess progress;
 - (iv) to facilitate administrative compliance;
 - (v) to guide the candidate into wider contacts and opportunities as appropriate to the discipline;
 - (vi) to act as a guide to University facilities; and
 - (vii) to encourage the candidate to participate in University intellectual life.
- (d) For more information see Responsibilities of Academic Supervisors and the Proof-Reading and Editorial Advice Policy.

11.5 ***The University Supervisor (previously Regulations 4.7.4 and Procedures 6.4)***

- (a) Where the primary supervisor is a staff member at Victoria University of Wellington, they are automatically designated as the University supervisor. Where the primary supervisor is not a staff member, another member of the supervisory team must be designated as the University supervisor and must be a staff member of Victoria University of Wellington.
- (b) In addition to the responsibilities in section 11.4, the University supervisor is responsible for:
 - (i) overseeing the academic development of the candidate; and specifically
 - (ii) ensuring that six-monthly reporting (CDP) is carried out;
 - (iii) overseeing the movement from provisional to full registration;
 - (iv) reading the final draft of the thesis (or where the primary supervisor is not a staff member of Victoria University of Wellington, ensuring that the final draft is read by an academic supervisor prior to submission);
 - (v) ensuring that examiners are nominated at least two months prior to submission.

11.6 ***External supervisors (previously Regulations 4.7.5)***

- (a) Where it is appropriate for a scholar from outside the University to be appointed to the supervisory team as an external supervisor they will be appointed as an Honorary Research Associate of the candidate's School and approved by the Dean FGR.
 - Note: In the special case of co-tutelle agreements, the other university in the partnership will appoint its own supervisors. Such arrangements will be documented in the co-tutelle agreement. Such supervisors do not need to be appointed as external supervisors of this University nor do they need to be appointed as Honorary Research Associates (HRA).
- (b) External supervisors are expected to meet the criteria specified in section 11.2(b) regarding the qualifications of academic supervisors.
- (c) External supervisors are academic supervisors, with the responsibilities in section 11.4(c)(i)–(v) above.
- (d) Former academic staff members who have left Victoria University of Wellington but will be continuing to supervise doctoral candidates must be appointed as HRAs for the remaining length of candidature; this does not apply to those who have been appointed as a Victoria University of Wellington Emeritus Professor. Adjunct staff members who are to supervise candidates must also be appointed as HRAs.
- (e) By mutual agreement with the Deans and Directors of the universities, HRAs from another NZ University are not normally paid. For advice about other payment arrangements please contact HR. Payments are from School budgets.

11.7 ***Changes to the supervisory team (previously Regulations 4.7.6)***

- (a) Where a supervisor is removed from or added to the supervisory team, the change is approved by the Associate Dean (PGR) on the recommendation of the School Research Committee.
- (b) Refer to the [Procedure for Changes to Supervisory Arrangements](#)

11.8 ***External party involvement in candidature (previously Regulations 4.8)***

- (a) Where an external party is involved in a candidate's candidature, an

agreement must be signed that sets out the terms of the relationship. This agreement must comply with the [Management of External, Research Consultancy and Related Contracts Policy](#) and the [Intellectual Property Policy](#).

11.9 Conflicts of Interest (previously Procedures 6.7)

- (a) Except with permission of the Dean FGR, members of the supervisory team must not have any conflicts of interest as defined by the [University's Conflicts of Interest Statute](#). See in particular 4.2(c). Disclosure of conflicts of interest with regard to doctoral thesis candidates must be made to the Head of School (who will disclose them to other decision makers in the School if appropriate) and to the Associate Dean (PGR), and prior approval must be obtained from the Dean FGR.

12 Evaluation and feedback (previously Regulations 4.9)

12.1 General regulations on evaluation and feedback

- (a) Candidates and supervisors review the direction and progress of the research, ensure compliance with matters of regulation, identify resource needs and may address any issues in the [six-monthly progress reports](#).
- (b) Candidates who are required to revise and resubmit (see section 15.7) are required to complete three-monthly progress reports.
- (c) The University will seek feedback from candidates on the quality of supervision and the overall doctoral degree programme experience in a confidential process.

12.2 Progress reporting (previously Procedures 7.1)

- (a) PhD candidates are required to complete a Candidate Development Plan (CDP) at six monthly intervals after enrolment (not counting periods of suspension). Candidates undertaking a professional doctorate need to do this in part 2 only, as progress is monitored during coursework in part 1.
- (b) The CDP rounds are managed in an online process administered by the Wellington Faculty of Graduate Research.
- (c) A key element of the CDP is the progress meeting between the candidate and supervisors. Ideally this will occur face-to-face, but video conferencing is also acceptable.
- (d) Failure to complete a progress report within the timeframe will result in follow-up from the Dean FGR.
- (e) Absence of a CDP will have implications for any requests for a suspension of study or an extension of time.

12.3 Resolving performance issues (previously Procedures 7.2)

- (a) Where there are major or continuing problems with a candidate's performance, a process will be started in Panoho to specify what action needs to be taken to rectify the problems and stipulate a time period within which such action is to be taken.
- (b) The School must offer the candidate the opportunity to respond and then will monitor the proposed actions. The School will also inform the candidate of their entitlement to representation, and the advisory and support services offered by VUWSA via the Student Advocate.
- (c) Where difficulties may be addressed by a change to the supervisory team, refer to the [Procedures for Changes to Supervisory Arrangements](#).
- (d) In the event that the candidate fails to take the required action so that problems persist, the School must notify the Associate Dean (PGR) who may then consider whether or not to recommend termination of the candidate's enrolment.

12.4 ***Feedback on progress (previously Procedures 7.3)***

- (a) In addition to the CDP process, supervisors will provide candidates with adequate and timely feedback and evaluation of their progress throughout their candidature. Feedback should be given using a format that provides the candidate with a permanent record on any written work submitted.
- (b) Supervisors must keep a record of supervisory meetings and record any significant advice given or transactions not dealt with in the CDP. Keeping good records will also assist in preparing the CDP and attending the review meeting.
- (c) If any doubt arises as to the ability of a candidate to complete the doctorate this must be raised and dealt with as soon as is practicable for the benefit of both the candidate and the University. Actions taken to address any concerns should be documented. See section 12.3 above.
- (d) Candidates approaching submission of their thesis for examination will require detailed written feedback on draft chapters as they are completed. Supervisors should endeavour to provide feedback on the final draft of the thesis within four weeks.

13 ***Submission of the thesis for examination (previously Regulations 4.10)***

13.1 ***Minimum registration (previously Procedures 8.1)***

- (a) PhD candidates may apply to have the thesis examined any time after the minimum registration period of 36 months full-time (or equivalent). The minimum registration period for a professional doctorate is 24 months full-time (or equivalent) in Part 2.
- (b) Candidates must be registered for the three months immediately preceding submission but may appeal to the Dean FGR to vary this requirement if there are exceptional circumstances. Appeals must be made in writing, with accompanying evidence, and supported by the supervisors.
- (c) If a candidate wishes to submit the thesis for examination within the minimum registration enrolment period, they must be able to show that they have exceptional grounds for doing so, e.g., started their PhD at another University and have subsequently transferred to Victoria University of Wellington. Applications must be made in writing to the Dean FGR and must have the approval of the Associate Dean (PGR).

13.2 ***Timeframe for submission (previously Procedures 8.2)***

- (a) The candidate's decision to apply for a thesis to be examined must be made in consultation with the University Supervisor.
- (b) Candidates are expected to give three months' notice, in Panoho, to the University supervisor and the School, of their intention to submit. This is to allow sufficient time for the identification of suitable examiners.
- (c) Candidates should allow for supervisor/s to take four weeks to read and comment on a final draft of the thesis.
- (d) Notwithstanding (a) above, the FGR will take reasonable steps to ensure that any thesis sent for examination is complete and otherwise suitable for examination.

13.3 ***General regulations regarding submission***

- (a) To facilitate library cataloguing, theses submitted in any language other than English should include an English translation of the title page and abstract.
- (b) Theses submitted in any language must consistently meet the formal standards of presentation of written work (e.g. grammar, spelling, style) in that language.

- (c) The candidate shall submit a digital copy of the thesis to the FGR in a manner specified by FGR and apply for examination. Candidates for a professional doctorate may be required to submit additional material as specified in the relevant procedures.
- (d) The candidate must also submit:
 - (i) a statement of authorship and thesis length to confirm that the work of others has been acknowledged in the thesis and that the thesis has not been submitted previously for another qualification at this or any other university; and
 - (ii) a statement that the thesis does not exceed the word limit prescribed in section 7.4; and
 - (iii) a statement from the University Supervisor (see section 13.4(a)).

13.4 ***Supervisor approval (previously Procedures 8.3)***

- (a) When the candidate submits the thesis, it must be accompanied by a statement from the University supervisor confirming that:
 - (i) the candidate has pursued the course of study in accordance with the requirements of the PhD or professional doctorate; and
 - (ii) the submission is made with the supervisors' approval.
- (b) If the University supervisor cannot sign (ii), the matter must be referred to the supervisory team who will determine whether or not the thesis is ready for submission.
- (c) Where the supervisory team's approval has not been given, the thesis must be returned to the candidate noting that the candidate is advised not to submit until the modifications indicated by the supervisory team have been made.
- (d) Modifications that are required for any of the following reasons must be addressed by the candidate before the thesis can be sent out to the examiners:
 - (i) insufficient legibility, inadequate proof-reading, or grossly inadequate English;
 - (ii) lack of an appropriate reference list/bibliography;
 - (iii) lack of an abstract;
 - (iv) lack of a table of contents;
 - (v) lack of any other necessary formal requirement of a thesis;
 - (vi) failure to comply with the Regulations on length of theses.
- (e) Where there is dispute between the supervisory team and a candidate regarding the modifications above, the final decision lies with the Dean FGR
- (f) Once the obligatory modifications have been made, the candidate may choose to submit, or delay submission until any other points have been addressed.
- (g) If the readiness of the thesis for submission is in dispute, the Dean FGR may offer an independent internal scrutineer.

13.5 ***Application for examination (previously Procedures 8.4)***

- (a) Applications should be made in Panoho.
- (b) The PhD regulations, paragraph 7 (see University Calendar), require that the thesis not have been submitted for another qualification at this or any other university. This does not preclude simultaneous submission to another University if there is a registered co-tutelle agreement in place.
- (c) On submission of the thesis, the candidate's status will change from 'full registration' to 'under examination' (UX) and they are no longer required to pay tuition fees. Ongoing access to office space is by negotiation with the

School while computer and library access and access to Student Services will continue as previously.

13.6 ***Submission of the thesis (previously Procedures 8.5)***

- (a) Candidates will submit a PDF version of their thesis in Panoho.
- (b) FGR acknowledges that some candidates will, exceptionally, need to submit a physical copy of the thesis, for example, certain architecture or creative theses may have a component that is not easily or appropriately delivered as a PDF. Physical submission requires written permission of Dean FGR, which permission will not be unreasonably withheld.

□ *Note: See also section 10.4 regarding the School's responsibility for ensuring that non-standard material is examinable and archivable.*

14 *Appointment of examiners (previously Regulations 4.11)*

14.1 ***General regulations on appointment of examiners (previously Regulations 4.11 and Procedures 9.1)***

- (a) Candidates may be consulted on potential examiners, but the identity of the examiners must be kept confidential from the candidate until such time as the examiners' reports are released.
- (b) The Head of School will nominate suitable examiners to the Dean FGR who makes the final decision about the approved examination panel.
- (c) Three examiners will be nominated: normally one internal academic staff member, one from elsewhere in New Zealand and one from overseas. Variations may be accepted if suitable justification is provided.
- (d) Suitable nominees are expected to be fair and impartial in the examination of the thesis and will:
 - (i) have a PhD degree and/or an established research record; and
 - (ii) be active researchers or scholars with expertise and standing in the field of the thesis being examined; and
 - (iii) normally have had previous experience of PhD supervision and examination; and
 - (iv) have no conflict of interest or any other significant personal, professional or contractual relationship with the candidate; and
 - (v) not have been at any time the primary or co-supervisor of the thesis; and
 - (vi) normally be employed by a tertiary education institution.
- (e) Scholars or researchers who are not employed by tertiary education institutions, but by research, governmental or commercial organisations may be appointed as examiners provided they meet the criteria in (d)(i)–(v) above.
- (f) No two examiners will normally be employed by the same institution.
- (g) In situations where the most qualified examiner would be excluded by the conditions in (d) above, the Dean FGR may approve exceptions.

14.2 ***The internal examiner (previously Procedures 9.2)***

- (a) In addition to the criteria in section 14.1(d) above the internal examiner:
 - (i) will normally be a professor, associate professor, senior lecturer or lecturer or equivalent-level researcher at Victoria University of Wellington;

- (ii) may be an emeritus professor or other former employee of the University resident in Wellington who is not employed at another tertiary institution;
 - (iii) may be a person under contract with Victoria University of Wellington, e.g., as a tutor, post-doctoral fellow, part-time lecturer, provided that their main employment is not with another tertiary institution;
 - Note: visiting scholars are not eligible to be internal examiners.
 - (iv) must have no conflict of interest arising from work on the same site as the candidate, e.g., line manager, known antipathy, a former primary or co-supervisor;
 - (v) must not be enrolled as a PhD candidate in any university.
- (b) The internal examiners is normally expected to oversee corrections and amendments to the thesis (see section 15.6).
 - (c) Any former supervisor whose name has been notified to the Dean FGR under section 11.7 may not act as an examiner except with the approval of the Dean FGR.
 - (d) If the candidate is a member of the University staff, the internal examiner should not normally be a close working colleague, e.g., a member of the same teaching and/or research group, or the candidate's line manager.

14.3 *The New Zealand examiner (previously Procedures 9.3)*

- (a) In addition to the criteria in section 14.1(d) above the New Zealand examiner:
 - (i) will normally be a professor, associate professor, senior lecturer or lecturer at another New Zealand tertiary education institution or recognised research institution;
 - (ii) may, with good reason, be replaced by someone from outside New Zealand who is within a reasonable time-zone difference from New Zealand so that an oral examination can be conducted within working hours in New Zealand.

14.4 *The overseas examiner (previously Procedures 9.4)*

- (a) In addition to the criteria in 14.1(d) above the overseas examiner:
 - (i) will normally be employed by a tertiary institution outside New Zealand;
 - (ii) may be replaced by someone from New Zealand if the topic of the thesis concerns New Zealand and the main specialists in the area are in New Zealand.

14.5 *Procedure for appointment of examiners (previously Procedures 9.5)*

- (a) It is the University supervisor's responsibility to suggest examiners and to provide sufficient information about the examiners to support their nomination.
- (b) Nominations are to be made in Panoho.
- (c) The FGR requires a rationale for the appointment of each of the examiners (especially the two external examiners) and sufficient biographical and bibliographical information to support the rationale. This rationale must explain not only why the proposed examiners are competent, but why they are suited to the examination of the thesis in question, either individually or as a team.
- (d) The School may require more than the minimum number of examiners to be nominated by the University supervisor, and make a selection from those proposed. If only the minimum number is nominated and any prove unsuitable, the University supervisor will be asked for further nominations.

- (e) The School may have reasons to reject examiners that have nothing to do with their inherent suitability, and supervisors must not expect that their recommendations will always be accepted, though their recommendations should always be seriously considered.
- (f) The candidate may be consulted about the choice of examiners but should not be informed as to who has been recommended or approved. The identity of the examiners will be available to the candidate when the examination reports are released.
- (g) The Dean FGR accepts School recommendations provided that the case is properly made and unless there are factors of which the School is unaware.
- (h) Examples of reasons to reject an application are:
 - (i) the relevant forms are incomplete;
 - (ii) a proposed examiner is not an active researcher or scholar;
 - (iii) a proposed examiner has proved unreliable in the past;
 - (iv) a proposed examiner has already undertaken several examination tasks in a short period;
 - (v) sufficient justification of the examiners' appropriateness for the specific thesis is not provided;
 - (vi) a proposed examiner does not meet the criteria outlined in section 14.1(d).
- (i) Prospective examiners should be approached informally by the School well in advance of the expected submission of the thesis to confirm that they are willing to examine and able to complete the examination of the thesis in the expected timeframe of eight weeks.
- (j) Examiners will be advised of the expected date of the viva when they receive the thesis for examination.
- (k) Each examiner's report must be independent and submitted directly to the Dean FGR. Examiners should not be in contact with other examiners, the candidate, or the supervisors prior to the viva. If any contact is necessary, this should only be through the FGR.

15 Examination process (previously Regulations 4.12)

15.1 General regulations for the examination process

- (a) The examination is a two-stage process involving an expert review of the thesis by three examiners and a viva (an oral examination of the thesis by the candidate).
- (b) The awarding of the doctoral degree will be determined on the basis of the examination of the thesis and the viva, regardless of any courses undertaken during candidature, unless otherwise specified in the statute.
- (c) Theses submitted in te reo Māori are not to be translated into English or any other language for the purposes of examination.

15.2 Distribution of the thesis to examiners (previously Procedures 10.4)

- (a) Examiners will be sent an electronic copy of the thesis.
- (b) Where physical media other than the thesis have been submitted, examiners will be sent such material as can be shipped at reasonable cost.
 - *Note: Any issues regarding examining non-standard material will have been satisfactorily resolved by the SRC at the time of transition from provisional to full registration (see section 10.4).*
- (c) Examiners will be asked, through Panoho, to confirm that they will keep the thesis confidential.

- (d) When the result of the examination has been finalised, all examiners should delete their electronic copy and destroy any hard copy that they have made.
- (e) Where an examiner has made annotations for the candidate on a copy of the thesis, either electronically or on a hard copy, it should be given to the candidate in a timely fashion.

15.3 ***Examination of the thesis (previously Regulations 4.12.1 and Procedures 10.1)***

- (a) Each examiner will independently provide, to the Dean FGR, a report on the thesis and make an assessment that:
 - (i) the thesis is of sufficiently high standard to meet the requirements of the doctoral degree, although it may require minor editorial changes; or
 - (ii) the thesis is not yet of a standard that meets the requirements of the doctoral degree, and that there are matters that must be addressed; or
 - (iii) the thesis is markedly substandard with respect to the requirements of the doctoral degree.
- (b) Each examiner will independently and in confidence recommend to the Dean FGR whether or not the candidate should be considered for inclusion in the Dean's list.
- (c) Where the reading of the examiners' reports shows that examiners disagree markedly in their recommendations, the Dean FGR may:
 - (i) allow the viva to proceed in the expectation that examiners will resolve the disagreement in the course of the examination process; or
 - (ii) send 'anonymised' versions of the examiners' reports to all examiners and facilitate discussion about the outcome in order to arrive at a common recommendation; and/or
 - (iii) appoint a referee who will adjudicate on the merits of the opposing points of view. Referees are appointed in the same way as examiners (refer to section 14); and/or
 - (iv) undertake such other consultation as may be considered necessary to determine an appropriate outcome.
- (d) After reviewing the examiners' reports and taking into consideration any subsequent consultation with the examiners, the Dean FGR will determine whether the viva should proceed.
- (e) Once the determination to proceed to a viva has been made, each examiner's report is made available to the candidate, the supervisors, and the other examiners. The reports will be released at least five working days before the viva.
- (f) The candidate may waive the right to five clear working days between receipt of the examiners' reports and the viva, provided this is done in writing.
- (g) Where the examiners agree that the written thesis is substandard with respect to the requirements of the doctoral degree, rather than approving the candidate's move to a viva, the Dean FGR may recommend that the candidate:
 - (i) revise and resubmit the thesis for second examination; or
 - (ii) accept the award of a Master's degree (subject to minor changes that may be required to the thesis); or
 - (iii) be awarded no degree.

- (h) A recommendation in (g) above will only be made after discussion with the examiners. The same options are available as an outcome of the viva, with the proviso that a candidate may only revise and resubmit the thesis once.
- (i) The candidate may decline any of the options in (g) above and assert their right to have an viva.
- (j) Where necessary, the Dean FGR will consult with other relevant and appropriate parties to resolve examination issues.
- (k) Where a referee is used, the Dean FGR may request that the referee be present at the viva, along with the other examiners or as a replacement for one of the examiners.
- (l) If an examiner has reason to suspect that a thesis under examination contains material that is plagiarised, or believes that there has been a failure to secure appropriate ethics approval, or considers that some other form of academic misconduct has occurred, they should immediately raise the matter, in confidence, with the Dean FGR.

15.4 ***The viva (previously Regulations 4.12.2 and Procedures 10.2)***

- (a) The viva of a thesis submitted in a language other than English will be conducted in that language unless the Dean FGR approves otherwise.
- (b) Each viva committee will consist of the internal examiner, the New Zealand examiner, and an independent Chair, who will be appointed by the Dean FGR.
- (c) It is expected that the candidate and the internal examiner attend the viva in person.
- (d) It is expected that the New Zealand examiner will attend the viva by video conference. The New Zealand examiner may attend in person if available to do so.
 - *Note: FGR has no funding to support travel or related expenses incurred by examiners.*
- (e) The overseas examiner is not expected to attend the viva (either in person or by video-conference), but is required to submit questions for the viva as part of their assessment of the thesis. The overseas examiner may attend if available to do so.
- (f) At least one of the candidate's supervisors (normally the primary supervisor) is expected to attend the viva in support of the candidate. Supervisors do not participate in the examination of the thesis or in examiners' deliberations about the examination outcome. A supervisor should not take part in the discussion between candidate and examiners. However, with the permission of the Chair, a supervisor may question the candidate or provide clarification. Any supervisor who interrupts without the permission of the Chair may be asked to leave the viva.
- (g) The candidate may bring one or more supporters. The candidate must give FGR at least five working day's notice that any supporters will be present and the number of supporters expected. Supporters do not participate in the examination of the thesis and are not permitted to speak, unless given permission by the Chair. Any supporter who interrupts without the permission of the Chair may be asked to leave the viva.
 - *Note: if a candidate wishes to bring more than two supporters, this may affect the venue of the viva and therefore the FGR team should be given as much notice as possible.*
- (h) The viva may be held by alternative means, provided the arrangements are approved in advance by the Dean FGR.
- (i) A candidate may elect that their viva be conducted on Te Herenga Waka

Marae.

- (j) The viva will begin with the candidate being offered the opportunity to speak for 10–15 minutes. They may use this time to provide an overview of the research, explaining briefly the major contribution made in the thesis, and to respond to the key points made by the examiners in their written reports. However, they must not come with a pre-prepared written rebuttal of the points made by the examiners. Candidates are expected to engage in dialogue with the examiners and to defend their thesis orally.
- (k) The examiners will (and the Chair may) ask questions of the candidate relating to the thesis, matters raised in the written reports on the thesis and related matters in the field or fields to which the thesis belongs.
- (l) When there are no more questions, the Chair will ask the candidate whether they wish to make any concluding remarks. After this, the Chair will request the candidate, supporters, and observers to leave. The supervisor/s attending may make a statement to the examination committee regarding aspects of the examination if they wish and will answer any questions of clarification from the examination committee.
- (m) Before the committee discusses the outcome of the examination, the supervisor/s will leave.
- (n) With the agreement of the Chair and the examiners a candidate may elect for the proceedings of the viva, prior to the candidate leaving the room, to be audio-recorded. Any audio recording must be requested at least three working days before the viva and will be arranged by the examinations team in FGR.

15.5 ***Examination outcome (previously Regulations 4.13 and Procedures 10.3)***

- (a) The examination committee, via the Chair, will prepare a written report that documents any conditions the candidate must satisfy and will recommend one of the following outcomes to the Dean FGR:
 - (i) that the candidate be awarded the doctoral degree subject to satisfying the conditions set out in the examination report. A timeframe not exceeding six months will be indicated for making the changes;
 - (ii) that the Dean FGR consult with the Chair of the viva and other interested parties (as appropriate) to obtain such additional information as is necessary to determine the outcome of the examination of the doctoral degree as a whole.
- (b) If the recommendation is (ii), the Dean FGR may determine that the candidate:
 - (i) be awarded the doctoral degree subject to meeting the conditions set out in the examination report; or
 - (ii) be declined a doctoral degree, but invited to revise and resubmit the thesis for a second examination; or
 - (iii) be declined a doctoral degree, but offered a Master's degree with an ungraded pass subject to meeting conditions (if any) that may be required in the examination report, or an amended version of the report; or
 - (iv) be declined a doctoral degree, with no further option or conditions.
- (c) After the examination committee members have decided on the recommendation they will make to the Dean FGR, the Chair will inform the candidate of the recommendation.
- (d) The examination committee, via the Chair, will recommend in confidence to the Dean FGR whether or not the candidate should be considered for inclusion in the Dean's list.

- (e) If the recommended outcome is that the candidate can be awarded the degree subject to completing the required revisions, he or she can expect to receive the written report within three days. If that has not been the recommended outcome, the Chair should inform the candidate when a decision can be expected and who will communicate it.
- (f) The timeframe for making corrections is primarily intended to indicate the scale of work involved rather than reflect a candidate's other commitments.
- (g) Corrections and amendments that are expected to take longer than six months to complete will normally result in a revise and resubmit decision.
- (h) Requests for extensions to the specified timeframe should be made to the Dean FGR.
- (i) See section 7.4(h) above regarding the word limit on a thesis that is either corrected and amended or revised and resubmitted for second examination.

15.6 ***Corrections and amendments (previously Regulations 4.13.2 and Procedures 11.1)***

- (a) The responsibility for overseeing corrections and amendments to a thesis belongs in the School.
- (b) Where the thesis has been passed subject to corrections and amendments the following will apply:
 - (i) The Head of School (or nominee) will appoint an *ad hoc* committee (which normally includes the internal examiner) to oversee the completion of corrections and amendments as detailed in the examination committee report and to advise the Dean FGR when all conditions have been met. These functions may be delegated to the internal examiner.
 - *Note: In most cases it will be sufficient for one person to oversee the corrections and amendments and sign off on corrections. That person will normally be the internal examiner, but may be another person if, for example, (a) the internal examiner is absent from Wellington or (b) the internal examiner was the harshest critic of the thesis.*
 - *Note: Schools should consider using a multi-person ad hoc committee for the purposes of overseeing the corrections and amendments in situations where using more than one person would bring significant benefit, e.g., in cases of interdisciplinary theses, where the internal examiner is not confident to address the issues alone, or to give junior staff experience in this area.*
 - (ii) Supervisors are not permitted to sign off on corrections and amendments.
 - (iii) Corrections and amendments are expected to be completed and signed off within the timeframe specified by the examiners at the time of the viva. The Dean FGR may approve extensions to this period.
- (c) Neither candidates nor supervisors determine what corrections and amendments must be made; that is the job of the examiners, who make their expectations known to the candidate and to the School via the final written examination report. Failure to complete all required revisions to an acceptable standard will lead to failure of the examination and no qualification will be awarded.
- (d) Examiners may also make suggestions that, while not required for the award of the degree, may provide for improvements to the thesis. Candidates are permitted to make modest revisions in line with these suggestions but are not at liberty to otherwise revise their thesis. The thesis that is deposited in the library must be the thesis that has been examined, subject to these revisions.

- (e) Once a timeframe for completing corrections and amendments is established, candidates are expected to adhere to it, although there is provision to request an extension from the Dean FGR in Panoho.
- (f) If a candidate does not re-present the thesis within the timeframe and has not requested an extension of time, their enrolment will lapse and their candidature may be terminated.

15.7 ***Revise and resubmit for a second examination (previously Regulations 4.13.1 and Procedures 11.2)***

- (a) Where revise and resubmit for a second examination is the outcome of the first examination (whether or not a viva has been held), the following conditions apply:
 - (i) this option is available only once; and
 - (ii) a minimum period of six months full-time (or equivalent) work under academic supervision will be required for which the candidate must register and pay the appropriate fees; and
 - (iii) the maximum period of registration will normally be 12 months full-time or 18 months half-time; and
 - (iv) the candidate must be registered for supervision for the three months immediately preceding re-submission.
- (b) A candidate may appeal to the Dean FGR to vary the conditions in (ii)–(iv) above if there are exceptional circumstances.
- (c) To achieve a timely completion and to ensure that a candidate is well supported during the revisions to the thesis, the following are required:
 - (i) Re-registration within 3 months; and
 - (ii) Any periods of suspension to be approved by the Dean FGR; and
 - (iii) Supervisors will provide brief reports at three monthly intervals, in Panoho.
- (d) When the thesis is resubmitted for a second examination, the examination process begins again (see section 15) and the same examiners will usually re-examine the thesis. If new examiners are required the process in section 14 will apply.

16 ***Award of the degree and notification of results (previously Regulations 4.14)***

- (a) The Dean FGR will approve the award of the degree subject to receiving:
 - (i) written confirmation from the Chair that the viva has taken place satisfactorily; and
 - (ii) written confirmation from the Head of School (or nominee) that all the conditions set through the examination process have been satisfied; and
 - (iii) written confirmation that the thesis has been deposited in the University Library.
- (b) The Dean FGR communicates the official result to the candidate in writing and a successful candidate is invited to graduate.
- (c) The Dean FGR is also responsible for ensuring the examination result is conveyed in writing to the supervisors, all examiners, and the candidate's School.

17 ***Powers of the Dean FGR in respect of these regulations (previously Regulations 4.15)***

- (a) Where the Dean FGR is convinced that the application of any regulation or procedure relating to doctoral candidature would lead to injustice for a particular candidate, the Dean may, after consultation with appropriate parties, modify the application of the relevant clause for the individual case.
- (b) At any time when the examination process is compromised, the Dean FGR has the right to declare an examination void and recommence the examination process.
- (c) In exceptional circumstances, the Dean FGR, in consultation with involved parties, has the authority to modify the procedures for viva, including the authority to waive a viva.
- (d) To avoid doubt, the Dean FGR may exercise any power, decision or authority specified in these regulations as being held by the Associate Dean (PGR).

18 ***Appeals (previously Procedures 13 and Regulations 4.16)***

- (a) An appeal relating to termination of enrolment due to non-payment of fees or failure to complete examination requirements may be made to the Dean FGR.
- (b) An appeal relating to termination of enrolment due to a candidate not meeting the requirements to move from provisional to full registration, or not maintaining satisfactory progress, may be made to the Vice-Provost (Research).
- (c) Appeals must be made in writing and lodged within 20 working days of being notified of the decision.
- (d) Any concerns relating to academic disadvantage regarding a candidate's doctoral programme are dealt with under the Academic Grievance Policy.
 - (i) In accordance with that Policy, any concerns regarding a doctoral programme are, in the first instance, to be dealt with through an informal process. The matter should initially be raised with the supervisor/s or the Postgraduate Co-ordinator, and then, if necessary, with the Head of School, Associate Dean (PGR) and the Dean FGR.
 - (ii) If the informal process fails to satisfactorily resolve the matter, the candidate may submit a formal academic grievance as set out in the Academic Grievances Policy.

19 ***Definitions***

For purposes of these regulations, unless otherwise stated, the following definitions apply:

Associate Dean (PGR):	The person in each faculty who is responsible for the approval of all administrative decisions and for all academic matters related to the postgraduate research degree programmes of candidates within their faculty.
Dean's List:	An annual, formal, published record of candidates who achieve at the highest level of academic excellence in their doctoral degree programme.
Doctoral Degree:	Any doctoral degree offered by the University that requires submission of a thesis, including the Doctor of Philosophy (PhD) and professional doctorates.
Enrolled:	A status acquired by a candidate that starts when they meet all enrolment conditions and ends when the candidate lodges the completed thesis in the University library, withdraws from or fails the qualification, or the University terminates the candidature.

External Parties:	External Parties include other universities, research institutions e.g. Crown Research Institutes, government entities e.g. Earthquake Commission, or private sector organisations.
External Supervisor:	A person who is appointed to the role of supervisor but who is not a member of Victoria University of Wellington's academic staff.
Wellington Faculty of Graduate Research (FGR):	The body charged with having general responsibility for and oversight of the University's postgraduate research degree programmes.
Faculty Office:	Any of the various Student and Academic Services Offices in the faculties.
Full-time Doctoral Degree Candidate:	Candidates are deemed to be full-time when they are able to devote a minimum of 30 hours per week to the thesis, on average, over the year. This workload excludes statutory holiday periods. <i>Note: Regulations for a Wellington Doctoral Scholarship require more than this minimum.</i>
Half-time Doctoral Degree Candidate:	Candidates who cannot work on the thesis for the minimum amount of 30 hours per week are deemed to be half-time.
Head of School (HoS):	Where the Head of School is mentioned in these regulations, the duties and functions which derive from these regulations may be delegated to a Postgraduate Coordinator.
Home Faculty:	The academic faculty in which a candidate undertakes their study (as distinct from the Wellington Faculty of Graduate Research).
Honorary Research Associate (HRA):	The appointment title given to an external supervisor. A straightforward letter of appointment is drawn up for the HRA that requires them to abide by University Regulations as far as they regard supervision.
Postgraduate Coordinator:	A person within the school responsible for postgraduate matters; in some situations called the PhD Coordinator.
Panoho:	The University's online Candidature Management System for research students.
Professional Doctorate:	A doctoral qualification with a thesis completed under supervision that also includes mandatory coursework, e.g., Doctor of Education (EdD), Doctor of Musical Arts (DMA).
Registration:	The period for which candidates are under supervision. Registration excludes periods of suspension and the period from submission of the thesis for examination, unless the candidate is required to undergo a further period of supervision.
School	Normally a School of the university. Where reference is made to "School" in this document, this may refer also to an Institute or Centre where these take on the role of School and have the appropriate committee and administrative structures in place.
School Research Committee (SRC):	A committee established in each school with responsibility for advising the Head of School on research and postgraduate matters. In some schools called the Postgraduate Committee. In some schools, there may be multiple committees, established at a programme level. In some cases, a Faculty Research Committee may act as a SRC.
Supervisor:	A person who is appointed to provide academic and administrative guidance to a candidate during their registration for the degree.

Suspension:	An approved period of time during which a candidate pays no tuition fees and receives no academic supervision.
Termination:	The result of action taken by the University that ends a candidate's enrolment.
University Supervisor:	A member of the Victoria University of Wellington academic staff whose role in the academic supervision of a candidate is defined by particular responsibilities towards the candidate and the University.
Viva:	An oral examination of a thesis, undertaken by one or more examiners.

20 ***Related documents***

[Academic Grievance Policy](#)

[Admission and Enrolment Regulations](#)

[Converting from PhD to Masters Thesis Degree](#)

[Copyright guidelines for research students](#)

[Education and Training Act 2020](#)

[FGR website](#)

[Fees Policy](#)

[Guidelines for including publications in a doctoral thesis](#)

[Guidelines on cotutelle degrees and other doctoral study offshore](#)

[Guideline for enrolment of international doctoral students who wish to undertake a doctorate offshore](#)

[Guideline for generative AI in postgraduate research](#)

[Intellectual Property Policy](#)

[Management of External Research Consultancy and Related Contracts Policy](#)

[Procedures for Changes to Supervisory Arrangements](#)

[Proof-Reading and Editorial Advice Policy](#)

[Recognising Authorship Guidance](#)

[Six-monthly Progress Report](#)

[Student Conduct Statute](#)

[Withholding of Theses Procedure](#)

Regulations for the PhD, EdD, DMA, DHlth, DMid, DNurs – refer to the [University Calendar](#)

21 ***Document management and control***

Essential record

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Contact Person	Manager, Faculty of Graduate Research

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