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## Doctoral Regulations: for PhD and other Doctorates with Theses

### Research Policy

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### 1 Purpose

These regulations state the University's position regarding the entry requirements, enrolment, registration, supervision and examination of candidates for the PhD and other doctoral degrees with theses. The regulations also give effect to the PhD Statute and other relevant doctoral degree statutes. They are supported by the [PhD Procedures](#) and associated guidelines, and similar procedures and guidelines for other doctoral degrees. These regulations are overseen by the Board of the Wellington Faculty of Graduate Research.

### 2 Organisational Scope

These are University-wide regulations.

### 3 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 named 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.
Named 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).
Postgraduate Coordinator:	A person within the school responsible for postgraduate matters; in some situations called the PhD Coordinator.
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 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.
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.

## 4 Regulations Content

### 4.1 Entry requirements for a doctoral degree

- (a) The entry requirements for a doctoral degree are detailed in the relevant doctoral degree regulations.
- (b) The process for applying for entry to a doctoral degree is detailed on the [Wellington Faculty of Graduate Research](#) website.

### 4.2 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) For a named doctorate, the course of study consists of mandatory coursework, a programme of research and the completion of a thesis under supervision.
- (c) 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.
- (d) 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.
- (e) 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.
- (f) 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.
- (g) 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.
- (h) 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.
- (i) 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 PhD Procedures section 2.2). 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.

- (j) A PhD thesis must not exceed a total of 100,000 words in length and a thesis for a named doctorate must not exceed 70,000 words, including bibliographies, footnotes and endnotes and essential appendices etc. Individual named doctorates may specify a lower limit. In exceptional circumstances, the Dean FGR may grant permission for a longer thesis to be submitted for examination.
- (k) 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. A thesis may be withheld for a maximum of two years. Refer to the [Withholding of Theses Procedure](#).
- (l) 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.
- (m) A named doctorate includes mandatory coursework (Part 1) which is completed within 12 months full-time (or equivalent) and prior to progression to the thesis (Part 2).
- (n) Where a candidate's registration exceeds 48 months full-time (or equivalent), they must apply to the Dean FGR for an extension of time. 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.

### 4.3 Coursework in doctoral degrees

#### 4.3.1 Coursework in the PhD

- (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.

#### **4.3.2 Coursework in named doctorates**

- (a) Named 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 named doctorate.

### **4.4 Enrolment and registration**

#### **4.4.1 Conditions of enrolment**

- (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.

#### **4.4.2 Conditions of registration**

- (a) Initially a candidate shall be provisionally registered for the doctoral degree (see section 4.6 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 named 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 4.4.3 (f) (i) below).

#### **4.4.3 Variations to enrolment and registration**

As provided for in the relevant procedures, changes may occur for the following reasons:

- (a) 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 PhD Procedures section 3.4).

(b) 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 PhD Procedures section 3.5).

(c) Suspension of study.

(i) The provision for a suspension is to deal with exceptional circumstances.

(ii) During a suspension a candidate will pay no tuition fees and will receive no supervision, though they continue to be enrolled.

(iii) Periods of suspension must be in whole months and not exceed 12 calendar months at any one time; they will not normally exceed 12 months in total.

*Note: Visa holders have stricter conditions imposed by Immigration New Zealand.*

*Note: Scholarship holders may have stricter conditions imposed by their awarding body.*

(iv) The approval of the Dean FGR is required for suspensions which take the period of suspension beyond 12 months in total; which are requested by a candidate required to revise and resubmit; or which request a retrospective suspension. The Associate Dean (PGR) may approve any other requests for suspension.

(d) Extensions beyond 48 months of total registration.

(i) An extension to a candidate's registration (as specified in 4.2 (n)) may be granted on application to the Dean FGR. Calculations will exclude any periods of suspension.

(ii) Consideration of extensions shall take account of the candidate's personal circumstances and the nature of the research project.

(iii) No more than 12 months extension will be approved at any one time.

(iv) 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 student who has had periods of both full- and part-time registration will have a pro-rata limit.

(e) Change of status from full-time to half-time and half-time to full-time.

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.*

(f) Withdrawal from the programme.

A candidate may withdraw from the doctoral degree programme by informing the

home Faculty Office in writing of their intention to do so.

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 an oral defence 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.
- (g) Termination of enrolment.

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 4.6 (b)).
  - (ii) If a candidate does not demonstrate sustained satisfactory progress.
- (h) 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.
- (i) Any appeal in relation to (f) (i) to (iv) should be made to the Dean FGR in writing and within 20 days of the relevant event unless the Dean FGR approves otherwise.
- (j) Any appeal in respect of (g) (i) and (ii) should be made to the Vice-Provost (Research) in writing and within 20 days of the notification of termination unless the Vice-Provost (Research) approves otherwise.
- (k) Scholarship holders must inform the Scholarships Office of any changes in their registration or enrolment status.

#### 4.5 Attendance at the University

- (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) 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 (c) below).
- (c) 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.

- (d) 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. 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.*

- (e) 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.

#### **4.6 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 and to apply for full registration within that time. A further three months of provisional registration may be approved by the Associate Dean (PGR) if satisfied that revisions to the proposal are necessary and can be effected within three months in order for the candidate to achieve full registration.
- (c) If a candidate does not meet the standard for full registration, the Dean FGR may terminate the candidate's enrolment.

#### **4.7 Supervision**

##### **4.7.1 Supervisory team**

- (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 4.7.4).
- (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).

#### **4.7.2 Qualifications of supervisors**

- (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 (which may be as a supervisor, co-supervisor or secondary supervisor), or successful supervision of Master's thesis students to completion.
- (d) 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.
- (e) 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.
- (f) 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 4.7.5), but may not fulfil the role of the University Supervisor.

#### **4.7.3 Academic supervisors**

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.

#### **4.7.4 The University Supervisor**

The University Supervisor is responsible for overseeing the academic development of the candidate including: six-monthly progress reporting; the movement from provisional to full registration; ensuring that the final draft of the thesis is read by an academic supervisor; and nominating examiners.

#### **4.7.5 External supervisors**

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.

#### **4.7.6 Changes to the supervisory team**

- (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 [Guidelines for Changes to Supervisory Arrangements](#)

#### **4.8 External party involvement in candidature**

Where an external party is involved in a student'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](#).

#### **4.9 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 s.4.13.1) are not required to complete the six-monthly progress reports. Progress is monitored through an alternative three-monthly reporting procedure.
- (c) The University will seek feedback from candidates on the quality of supervision and the overall doctoral degree programme experience in a confidential process (see section 4.10 (h)).

#### **4.10 Submission of the thesis for examination**

- (a) The candidate must be registered for the three months immediately preceding submission. A candidate may appeal to the Dean FGR to vary this requirement if there are exceptional circumstances.
- (b) The candidate's decision to apply for a thesis to be examined must be made in consultation with the University Supervisor.
- (c) Notwithstanding (b) above, the FGR will take reasonable steps to ensure that any thesis sent for examination is complete and otherwise suitable for examination.
- (d) To facilitate library cataloguing, theses submitted in any language other than English should include an English translation of the title page and abstract.
- (e) Theses submitted in any language must consistently meet the formal standards of presentation of written work (e.g. grammar, spelling, style) in that language.
- (f) 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 named doctorate may be required to submit additional material as specified in the relevant procedures.

- (g) The candidate must also submit the following signed documents:
  - (i) a [\*Statement of Authorship and Thesis Length\*](#) form 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 4.2(j); and
  - (iii) a statement from the University Supervisor that the candidate has, to the best of the supervisor's knowledge, pursued the course of study in accordance with the requirements of the relevant degree statute.

#### 4.11 Appointment of examiners

- (a) Candidates may be consulted on potential examiners, but the identity of the examiners must be kept confidential 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 expertise and standing in the field of the thesis being examined; and
  - (ii) normally have had previous experience of PhD supervision and examination; and
  - (iii) have no conflict of interest or any other significant personal, professional or contractual relationship with the candidate; and
  - (iv) not have been at any time the primary or co-supervisor of the thesis.
- (e) In situations where the most qualified examiner would be excluded by the conditions in (d) above, the Dean FGR may approve exceptions.
- (f) Victoria University of Wellington staff (including those holding the position of Emeritus Professor, academic staff on fixed-term contracts, and postdoctoral fellows) may be nominated as internal examiners, providing they are available (if required) to oversee corrections and amendments to the thesis. Visiting scholars are not eligible to be internal examiners.
- (g) Any former supervisor whose name has been notified to the Dean FGR under 4.7.6 (b) may not act as an examiner except with the approval of the Dean FGR.
- (h) 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.

#### 4.12 Examination process

- (a) The examination is a two-stage process involving an expert review of the thesis by three examiners and an oral defence 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 oral defence of the thesis, 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.

##### 4.12.1 Examination of the thesis

- (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 the examiners disagree markedly about the standard of the work, the Dean FGR may consult other relevant parties for advice, or may attempt to bring about some resolution, or may appoint a referee. If a referee is required, the appointment will follow the process for appointing examiners (see section 4.11).
- (d) After reviewing the examiners' reports and taking into consideration any subsequent consultation with the examiners, the Dean FGR will determine whether the oral should proceed. If the determination is that the oral should not proceed, the candidate nevertheless retains the right to request an oral.
- (e) Once the determination to proceed to an oral 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 oral.

##### 4.12.2 The oral defence of the thesis

- (a) The oral defence of a thesis submitted in a language other than English will be conducted in that language unless the Dean FGR approves otherwise.
- (b) Each oral 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 oral in

person.

- (d) It is expected that the New Zealand examiner will attend the oral in person or by video conference.
- (e) The overseas examiner is not expected to attend the oral (either in person or by video-conference), but is required to submit questions for the oral 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 oral defence in support of the candidate. Supervisors do not participate in the examination of the thesis or in examiners' deliberations about the examination outcome.
- (g) The oral defence may be held by video-conference or alternative means, provided the arrangements are approved in advance by the Dean FGR.
- (h) A candidate may elect that their oral be conducted on Te Herenga Waka Marae.

#### 4.13 Examination outcome

- (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 full-time (or equivalent) will be indicated for making the changes;
  - (ii) that the Dean FGR consult with the Chair of the oral 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) 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.

**4.13.1 Revise and resubmit for a second examination**

- (a) Where revise and resubmit for a second examination is the outcome of the first examination (whether or not an oral 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) When the thesis is resubmitted for a second examination, the examination process begins again (see section 4.12) and the same examiners will usually re-examine the thesis. If new examiners are required the process in section 4.11 will apply.

**4.13.2 Corrections and amendments**

Where the thesis has been passed subject to corrections and amendments the following will apply:

- (a) The Head of School (or nominee) will appoint a 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.
- (b) Supervisors are not permitted to sign off on corrections and amendments.
- (c) Corrections and amendments are expected to be completed and signed off within the timeframe specified by the examiners at the time of the oral defence. The Dean FGR may approve extensions to this period.

**4.14 Award of the degree and notification of results**

- (a) The Dean FGR will approve the award of the degree subject to receiving:
- (i) written confirmation from the Chair that the oral defence 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 in accordance with the Library Statute.

- (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 home Faculty Office.

#### 4.15 Powers of the Dean FGR in respect of these regulations

- (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 an oral defence, including the authority to waive an oral defence.
- (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).

#### 4.16 Academic grievance

Any concerns relating to academic disadvantage regarding a candidate's doctoral degree programme are dealt with under the [Academic Grievance Policy](#).

## 5 Legislative Compliance

The University is required to manage its policy documentation within a legislative framework. The legislation directing these regulations is the Education Act 1989.

## 6 References

[Academic Grievance Policy](#)

[Admission and Enrolment Statute](#)

[FGR website](#)

[Fees Statute](#)

[Procedures for Changes to Supervisory Arrangements](#)

[Intellectual Property Policy](#)

[Library Statute](#)

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

[PhD Procedures](#)

[Recognition of Authorship Policy](#)

[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

## **7 Appendices**

None

## **8 Approval Agency**

Academic Board

## **9 Approval Dates**

These regulations were originally approved on

New policy (replacing the PhD Policy) 12 August 2011

This version was approved on:

17 March 2020

This version takes effect from:

17 March 2020

## **10 Statute Sponsor**

Vice-Provost (Research)

## **11 Contact Person**

The following person may be approached in relation to these regulations:

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