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## Higher Doctorates Guidelines for Applicants and Examiners

### Research Policy

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#### 1. Purpose

These guidelines provide additional information about the application and examination process for Higher Doctorates. They should be read in conjunction with the [Higher Doctorates Statute](#).

#### 2. Organisational Scope

These are University-wide guidelines.

#### 3. Definitions

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

Dean FGR	Dean of the Faculty of Graduate Research (FGR) and Chair of the Board of the FGR.
Faculty of Graduate Research	The body charged with having general responsibility for and oversight of the University's postgraduate research degree programmes.

#### 4. Guidelines

##### 4.1 General Requirements

- a) The principal criterion for the award of the degree is excellence. The quality of the work may be shown by the fact that it has generated important debate, caused a change in theory or practice within the discipline, or has influenced scholars or practitioners in the field.
- b) In general, the submitted work should be publicly accessible. Where the Higher Doctorate is awarded for creative achievement, publication shall be taken to include such things as public performance, public broadcast, commercial recording in audio or video format or on film, and designs and constructions.

##### 4.2 Application Process

- a) The current application fee is \$3000, of which \$2,500 will be refunded if the application does not proceed beyond the *ad hoc* Committee's initial consideration.
- b) The amount of work submitted is left to the discretion of the candidate. It will usually exceed a single work and should be sufficient to fully justify the award of the degree.

- c) Books should be submitted in the form in which they are published. Other documents should be bound together appropriately. It is the responsibility of the candidate to submit four copies of their material in a format suitable for examination.
- d) Candidates should provide evidence of the influence of their work by including, for instance, reference to reviews, reference to substantial work which has developed from theirs, reference to the adoption of methods they have pioneered, citations, critical appraisals for their work, prizes received, and other forms of peer esteem.

#### 4.3 Initial Assessment

- a) Members of the *ad hoc* Committee considering the initial application should, in the first instance, write independent reports to the chair of the committee, before meeting to discuss the application. If they recommend that the application should not proceed to examination, they should forward to the Dean FGR a succinct but detailed justification for this position which can be sent to the candidate.
- b) In recommending examiners to the Dean FGR, the *ad hoc* Committee should ensure that:
  - (i) no member of the *ad hoc* Committee is an examiner;
  - (ii) at least two of the examiners are external to the University; and
  - (iii) at least one examiner will normally be from outside New Zealand. However, the Committee may recommend that this rule should be waived where good purpose would not be served by an overseas examiner.

#### 4.4 Examination

- a) The Dean FGR will approve the examiners and initiate the examination process.
- b) Each examiner will prepare an independent and confidential report which should be returned to the Dean FGR.
- c) Examiners should consider the esteem in which the candidate is held in the field, as witnessed by citations, reviews, invitations to give keynote addresses, prizes, and the like. Examiners will restrict their attention to the material submitted by the candidate for the degree.
- d) If the examiners disagree on the outcome, the Dean FGR may:
  - (i) consult with the examiners to see if consensus can be reached; or
  - (ii) follow the majority decision; or
  - (iii) appoint a further examiner; or
  - (iv) appoint an independent referee.
- e) The Dean FGR will consider the examiners' reports and the outcome of any other consultation or independent reports and make a recommendation on the award of the degree to the Vice-Provost (Research).

#### 4.5 Notification of outcome

- a) The University will act as promptly as possible. However, candidates may expect the initial assessment to take three to six months. The final examination process may take an additional six months.
- b) The Dean FGR will advise the candidate of the examination outcome.

## 5. Legislative Compliance

Though the University is required to manage its policy documentation within a legislative framework; there is no specific legislation directing these guidelines.

## 6. References

[Higher Doctorates Statute](#)

## 7. Appendices

None

## 8. Approval Agency

Vice-Provost (Research)

## 9. Approval Dates

These guidelines were originally approved on: 16 August 2007

This version was approved on: 25 Sept 2014

This version takes effect from: 16 October 2014

## 10. Contact Person

The following person may be contacted in relation to this procedure:

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