Information in this handbook reflects practices which are in effect as of the date of this publication. While all reasonable attempts are made to apply consistency, non-regulated situations are treated on a case-by-case basis. Regulations can be found in the current University Calendar.

Please note the use of the acronyms PGSO and PGRC:
Two important bodies that perform an essential role in administering higher degrees and overseeing candidates' progress are the Postgraduate Research Committee (PGRC) and the Postgraduate Studies Office (PGSO). These acronyms will be used through this document.
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SECTION 1: SUMMARY AND OVERVIEW

1.1 INTRODUCTION

A research degree, sometimes described as a higher degree, is awarded by the University of Waikato for research which requires a high degree of scholarly acumen, independence and perseverance. The research is supervised by members of academic staff, but must be the candidate's original work. This must be presented as a written thesis that demonstrates the research process and the argument or results.

Doctoral work requires the candidate to make an original contribution to the field by empirical investigation, the formulation of theories or the innovative reinterpretation of known data and established ideas. The process begins with learning how to define a research topic, and planning a programme of research to investigate it. As they pursue their degree, candidates develop their abilities in the use of appropriate methodologies of investigation, in the collection and analysis of information and data, and in the presentation of their results.

1.2 CONTACTS FOR ENQUIRIES

Day-to-day academic and administrative matters relating to higher degrees are handled by the PGSO staff. The PGSO staff members provide advice and guidance to both staff and students engaged in higher degree study and supervision.

The PGSO is part of the Student and Academic Services Division (SASD) which is housed on Level 1 of the Student Centre. In the first instance they report to the Manager - Postgraduate Studies.

The PGSO’s prime role is to provide support for postgraduate students seeking higher degrees and to:

- Advise students and staff on matters related to higher degree postgraduate study;
- Facilitate effective management of higher degree postgraduate research;
- Establish procedures to resolve student and/or supervisory problems or conflicts;
- Advise the PGRC (see Appendix 2) on matters related to higher degree postgraduate study.

Please contact:
Postgraduate Studies Office (PGSO): Tel: +64 7 838 4466 x 4439
Fax: +64 7 838 4130
Email: postgrad@waikato.ac.nz
1.3 TYPES OF RESEARCH DEGREES OFFERED

The University of Waikato offers three types of research degrees: higher doctorates (LLD, DLit, DSc), the supervised doctorate (PhD), supervised professional doctorates (EdD, SJD, DMA), and the Master of Philosophy (MPhil).

The higher doctorates are awarded for a body of meritorious published work undertaken without academic supervision. Candidates will not be considered for a higher doctorate until at least 10 years after graduation from his or her first degree. (See Appendix 1).

The supervised research degrees of Master of Philosophy (MPhil), and Doctor of Philosophy (PhD), are acquired solely by the submission of a thesis prepared under supervision at the University of Waikato.

The supervised professional research degrees of Doctor of Education (EdD) and Doctor of Juridical Science (SJD) are designed for candidates with relevant professional experience. Typically candidates are senior practitioners in their professional fields who wish to make a significant contribution to their area of expertise via research. These degrees require an initial year of course work to be successfully completed prior to the development and submission of a supervised thesis.

1.4 KEY REQUIREMENTS

1.4.1 Enrolment

Admission and enrolment for a research degree depends on satisfying a number of requirements which are outlined in greater detail in subsequent sections of this handbook and online. The process varies slightly depending on the degree. In summary, for the longer degrees, the requirements include the following.

**Admission and Conditional enrolment:**
- Evidence of meeting academic and English language proficiency prerequisites;
- A suitable research proposal;
- Availability of suitable expert supervision and resources at the university and/or a collaborating organisation.

**Confirmation of enrolment:**
- Development of an acceptable research plan within a prescribed time;
- A favourable supervisors’ recommendation;
- Evidence of ethical approval, or a statement confirming it is not required;
- Satisfactory completion of first year coursework (EdD/SJD only).

**Ongoing annual enrolment:**
- Submission of six-monthly reports demonstrating satisfactory progress.
1.4.2 Conferment
A research degree is conferred or awarded on the merits of the thesis presented. No matter how good the research, it is an essential condition that it be presented in a well-written thesis that clearly justifies the candidate’s research methods and conclusions. A successful thesis demonstrates the candidate has reached an acceptable professional standard in conducting independent, original research and in presenting the findings. The thesis must be presented within the term of enrolment, and comply with the University’s requirements as set out in the Dissertations and Theses Regulations 2006.

The decision to award a research degree is the responsibility of the Postgraduate Research Committee, which appoints at least two external examiners to assess and report on the PhD thesis and one external examiner for an MPhil thesis. An oral examination is held for PhD, EdD and SJD theses, but not normally for MPhil theses.

1.5 DURATION AND STRUCTURE OF STUDY

The diagrams on the following pages indicate the steps required to complete each of these degrees.

The MPhil is the shortest of the higher degrees, and does not include a conditional enrolment period. The thesis must be submitted after a minimum of one year of full-time study, or two years of part-time study. The MPhil thesis must demonstrate expertise in the methods of research and scholarship; display intellectual independence; make a substantial contribution to knowledge in a particular field and contain publishable material.

The supervised doctorates, PhD, EdD and SJD, will normally take three years of full-time study to complete, and may not exceed eight calendar years from the initial date of enrolment if undertaken on a part-time basis. The PhD is acquired solely by the submission of a thesis and can be completed in a minimum of two years. The EdD and SJD require an initial year of course work prior to the undertaking of a thesis and can be completed in a minimum of three years. The thesis for all these degrees is required to demonstrate methods of research and scholarship; display intellectual independence; present arguments, findings and conclusions; make a substantial contribution to knowledge in a particular field and may include published papers or those that are intended for publication.

Candidates may apply to enrol from the first day of any calendar month throughout the year. They can apply for full or part-time enrolment and may apply to change this status at any time. Full-time students should expect to devote a minimum of 30 hours per week on average over a 12 month period that can be committed to study in reasonable “blocks” of time.

<table>
<thead>
<tr>
<th>DEGREE</th>
<th>STATUS</th>
<th>MAXIMUM</th>
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<td>Full-time</td>
<td>4 years</td>
<td>3 years</td>
<td>Part-time</td>
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<tr>
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<td>1 year</td>
<td>Part-time</td>
<td>4 years</td>
<td>2 years</td>
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1.6 SUMMARY OF APPLICATION PROCESS

Candidate makes contact with potential supervisors within faculty/school of study. Together they discuss topics and refine a research proposal.

Candidate completes Application to Enrol (ATE), or International ATE, and supplementary form. All forms and required documentation submitted to the Enrolment Office.

International qualifications are assessed for equivalence, and English language proficiency checked.

Application forwarded to Postgraduate Studies Office (PGSO) for approval by Postgraduate Research Committee (PGRC).

Approval of application from PGRC results in conditional enrolment for a PhD, first year enrolment for an EdD/SJD, and confirmed enrolment for an MPhil.

The Application Checklist (Appendix 3) summarises the documentation that needs to be provided as part of a successful application for a higher degree.
1.7 SUMMARY OF STEPS TO A RESEARCH DEGREE

1.7.1 PhD

ADMISSION
- Candidate initiates process with department
- Initial research proposal drawn up and candidate completes Application to Enrol (ATE), or Int. ATE
- Application lodged with Enrolment Office for data entry
- Application forwarded to PGSO for PGRC approval
- Approved proposal generates Conditional Enrolment and Enrolment Agreement

FIRST YEAR
- PhD enrolment begins on the first day of any month
- Full research proposal due within 6 months (full-time) or 12 months (part-time) of first enrolment
- Enrolment confirmed once full research proposal approved by PGRC
- Progress reports due 6 monthly from confirmed enrolment date

CONSECUTIVE YEARS
- Work continues
- 6 monthly progress reports due

SUBMISSION OF THESIS
- Candidate submits to the PGSO
  - 3 copies of soft-bound thesis
  - Soft bound submission form
  - Ethics Declaration form
  - Approved embargo authorisation (if necessary)

NOMINATION OF EXAMINERS
- Chief supervisor nominates examiners
- Nominations approved by PGRC
- Thesis couriered to examiners

EXAMINATION
- Examiners make recommendations
- Supervisors write report
- Examiners’ recommendations to proceed to oral exam approved by PGRC
- Oral examination held
- Examination panel makes final recommendation, approved by PGRC

COMPLETION
- Candidate officially informed of oral exam outcome
- Candidate makes requested amendments (where necessary)
- Candidate submits electronic version of thesis to University library
- Candidate submits to the PGSO:
  - 2 copies of hard bound thesis
  - Hardbound submission form
  - Library Declaration form (bound into one copy of thesis)
- Candidate eligible to graduate at next available graduation ceremony
1.7.2 EdD/SJD

**ADMISSION**
- Candidate initiates process with department
- Candidate completes application process
- Application lodged with Enrolment Office for data entry
- Application goes to faculty/school for approval
- Approved proposal generates enrolment for first year course work

**FIRST YEAR**
- Complete course work (papers) for Part 1 of the degree

**CONSECUTIVE YEARS**
- Full research proposal completed and sent to PGRC for approval
- Enrolment for Part 2 confirmed once full research proposal approved by PGRC
- Progress reports due 6 monthly from re-enrolment date

**SUBMISSION OF THESIS**
- Candidate submits to the PGSO
  - 3 copies of soft-bound thesis
  - Soft bound submission form
  - Ethics Declaration form
  - Approved embargo authorisation (if necessary)

**NOMINATION OF EXAMINERS**
- Chief supervisor nominates examiners
- Nominations approved by PGRC
- Thesis couriered to examiners

**EXAMINATION**
- Examiners make recommendations
- Supervisors write report
- Examiners’ recommendations to proceed to oral exam approved by PGRC
- Oral examination held
- Examination panel makes final recommendation, approved by PGRC

**COMPLETION**
- Candidate officially informed of oral exam outcome
- Candidate makes requested amendments (where necessary)
- Candidate submits electronic version of thesis to University library
- Candidate submits to the PGSO:
  - 2 copies of hard bound thesis
  - Hard bound submission form
  - Library Declaration form (bound into one copy of thesis)
- Candidate eligible to graduate at next available graduation ceremony
1.7.3 MPhil

ADMISSION
- Candidate initiates process with department
- Initial research proposal drawn up and candidate completes Application to Enrol (ATE), or Int. ATE
- Application lodged with Enrolment Office for data entry
- Application forwarded to PGSO for PGRC approval
- Approved proposal generates Confirmed Enrolment and Enrolment Agreement

FIRST YEAR
- MPhil enrolment begins on the first day of any month
- First progress report due 6 months from confirmed enrolment date

CONSECUTIVE YEARS
- Work continues
- 6 monthly progress reports due

SUBMISSION OF THESIS
- Candidate submits to the PGSO
  - 2 copies of soft-bound thesis
  - Soft bound submission form
  - Ethics Declaration form
  - Approved embargo authorisation (if necessary)

NOMINATION OF EXAMINERS
- Chief supervisor nominates examiners
- Nominations approved by PGRC
- Thesis couriered to examiners

EXAMINATION
- Examiner makes recommendations
- Supervisors write report
- Examiner’s recommendation approved by PGRC

COMPLETION
- Candidate officially informed of examination outcome
- Candidate makes requested amendments (where necessary)
- Candidate submits electronic version of thesis to University library
- Candidate submits to the PGSO:
  - 2 copies of hard bound thesis
  - Hard bound submission form
  - Library Declaration form (bound into one copy of thesis)
- Candidate eligible to graduate at next available graduation ceremony

For information on the LLD, DSc, and DLit please refer to Appendix I.
SECTION 2: THE STEPS TO A HIGHER DEGREE

2.1 ADMISSION AND ENROLMENT

2.1.1 Minimum Entry Requirements

A person wishing to be admitted as a candidate for a higher degree is expected to have a Bachelor’s degree with first class honours, at a minimum, or a Master’s degree with first or second class honours (first division). The degree must include an appropriate research component. The department or school of study may impose further requirements pertinent to the discipline.

In special circumstances, a candidate who does not have these formal qualifications, but can demonstrate appropriate equivalent research experience, will also be considered for admission. Also in special circumstances, a candidate who meets the academic requirements for enrolment in an MPhil may transfer to a doctoral degree.

In order to be admitted to either of the two professional research degrees, EdD or SJD, the candidate must demonstrate appropriate professional qualifications and experience. For example, a candidate for an EdD must have a recognised teaching or allied professional qualification as well as providing evidence of at least three years of competent service as an educational practitioner.

Acceptance as a candidate also depends on the University of Waikato’s ability to offer expert supervision (the University has an online Expert’s File to assist initial enquiries), and provide the necessary resources to support the intended higher degree research project.

Candidates for whom English is a second language may need to demonstrate proficiency in English to a standard established at the discretion of the Dean of the faculty/school concerned.

2.1.2 Preliminary assessment of suitability

Preliminary discussions will give an indication of the prospective students’ suitability for study at the higher degree level, and the ability to offer supervision and support in the proposed area of research. These discussions will normally be informal, involving the prospective student and supervisors. It is important from the outset that all parties are honest and explicit about the various requirements associated with study at the higher degree level and that false expectations are discouraged. In particular, the parties should consider the following:

The prospective student

- What are this person’s qualifications?
- Does this person appear well motivated?
- Has this person selected an appropriate higher degree for study?
- Are this person’s English language capabilities likely to be acceptable? (Refer to Section 2.1.4.)

Supervision and support

- Can the proposed area of research be matched with expertise within the faculty/school?
- Should there be a supervisor and/or adviser from another faculty/school?
- What facilities and other resources would be needed to meet the practical requirements of the proposed research?
The project
• Is the proposed research likely to yield a good thesis?
• Will the scope of the proposed research allow for successful completion within the timeframe allowed for the degree?
• Will the proposed research require fieldwork, and what are the likely demands on the candidate?
• Will the proposed research require approval from an ethics committee?

The supervisor(s)
• Are the potential supervisors properly qualified?
• Does their workload permit regular meetings and prompt attention to the work of the candidate?
• If it appears that there is supervisory potential and that the minimum requirement for admission can be met, an application should be submitted.

2.1.3 Application for Admission to Higher Degrees

All Candidates
In addition to the specific requirements for entrance into the higher degree programmes, the normal entrance requirements of the University of Waikato as stated in the University Calendar apply.

In order to engage in study towards a higher degree, it is necessary both to be admitted to the programme and enrolled as a student of the University of Waikato. Admission occurs once at the beginning of a candidature. Enrolment follows admission and is a University administrative requirement which occurs once each year, following an annual enrolment fees payment, until the thesis is submitted for examination.

A person interested in undertaking a higher degree (MPhil, PhD or EdD/SJD) should supply the following information:
• A completed and faculty/school approved Application to Enrol form (or International Application to Enrol form);
• Certified copies of full academic record;
• An initial research proposal (PhD) or research proposal (MPhil) with an ethics statement and;
• Details of any taught papers the candidate is also enrolling in (EdD/SJD), together with evidence of an appropriate professional qualification and professional experience (EdD/SJD).

All applications for admission must be signed by the candidate, the supervisors, the Chairperson of the department, and the faculty/school PGRC representative.

Applications must be made by the candidate; no applications made on behalf of the candidate will be processed by the University of Waikato.

Applications from candidates (except international candidates) should be addressed to:
Enrolments Office
University of Waikato
Private Bag 3105
Hamilton 3240
New Zealand
International Candidates
An international candidate is one who does not hold a New Zealand passport or permanent
residency in New Zealand, or who is not an Australian citizen. International candidates
must complete an International Application to Enrol form (downloadable from the Waikato
International section on the university website www.waikato.ac.nz/international) and
ensure that all the correct paperwork concerning entry to New Zealand, and evaluation of
qualifications is completed. (See International Student Support, Section 5.1.6).

Applications from international candidates should be addressed to:
International Enrolments Office
University of Waikato
Private Bag 3105
Hamilton 3240
New Zealand

Transferring Candidates
Candidates transferring from another University/Tertiary Institution
Candidates wishing to transfer research already undertaken at another institution towards
a higher degree at the University of Waikato must apply to the University using the same
enrolment procedures as all new higher degree candidates.

Candidates transferring to or from an MPhil
In certain circumstances, students enrolled in an MPhil degree may be permitted to transfer
their studies to a PhD degree. A transfer can only take place after a minimum of six month
full-time or twelve months part-time study. The transfer may only occur if it is supported in
writing by the candidate’s supervisor(s) and approved by the Chairperson of the department
as well as the faculty/school PGRC representative.

Candidates enrolled for a PhD or for part 2 of an EdD or SJD may apply to the PGRC
to transfer to an MPhil at any time prior to submission of the thesis. It is also open to
candidates enrolled in part 2 of an EdD or SJD to apply to transfer to a Masters degree in
their specialist area.

2.1.4 Evaluation of Applications
Qualifications
Qualifications gained in institutions other than the University of Waikato are evaluated for
equivalence by the University of Waikato Student and Academic Services Division. Original
or fully authenticated transcripts and certificates must accompany the Application to
Enrol form (translated into English and signed by a Justice of the Peace or Notary Public or
solicitor).

English language proficiency
It is generally recommended that students whose first language is not English have at least
an IELTS (Academic) score of 6.5 overall, including 6.0 in the Writing Band, or a TOEFL score
of 600 overall, with a TWE (Test of Written English) of 5.0 or better. The English language
proficiency requirements for admission are at the discretion of the Dean of the faculty/
school concerned and a higher score may be required in some areas of study and research.
In particular, research degree candidates must be able to write grammatically correct English, be able to develop ideas and express them in well-structured, accurate and extended written English. Even in papers where mathematical and scientific symbols are the primary means of expression, English writing skills are needed. Candidates must be able to read actively and with understanding, find relevant information, and follow the structure of narrative and analyse arguments without undue guidance.

Research and special skill requirements
Applications for Enrolment must demonstrate (through qualifications already gained) that the applicant is proficient in research skills and/or such other special skills as are required by the degree programme e.g. research methodology for statistical analysis. Candidates may be required to undertake such course work or study that is necessary to help them gain the necessary knowledge and skills to undertake the research planned for their proposed research degree.

2.1.5 Approval and Start Date
Applications are considered by the Chairperson of the PGRC, usually on a weekly basis. Once approval has been granted the candidate will be invited to enrol as a student of the University of Waikato. The official higher degree start date will always be the first of any calendar month, which is selected by the candidate, but which must be within one year of the offer to enrol.

2.1.6 Enrolment
Enrolment involves:
- Signing the enrolment agreement;
- Indicating the method of payment and;
- Returning the enrolment agreement, with payment, to the Financial Services Division office in The Gateway (Te Kuaha).

Confirmation of Enrolment
For PhD, EdD and SJD candidates, initial admission and enrolment is conditional only. These candidates must go through a further approval process to confirm their enrolment in order to proceed beyond the first 6-12 months of study (See Section 2.1.8).

The period of conditional enrolment is an opportunity for the candidate and supervisor(s) to agree on a full research proposal, and for the candidate to demonstrate the capacity to undertake research at doctoral level by undertaking initial work on the research project. Applications for any ethical approvals required for the proposed research must be made during the conditional enrolment period. (See Section 2.3).

Annual Re-enrolment
As a normal requirement of the University, all students must re-enrol for study each year. For all research degree candidates, annual enrolment is conditional upon the candidate and the candidate’s chief supervisor submitting satisfactory progress reports to the PGSO every six months.

A candidate is required to be enrolled continuously for the entire period of the candidacy, up to the submission of the hard bound thesis, unless approval has been granted for a suspension.
2.1.7 Fees
Candidates will receive a letter accompanied by an enrolment agreement following the submission of a successful application for admission. The enrolment agreement is a contract between the candidate and the University of Waikato and must always be signed and returned even when the candidate is in receipt of a scholarship or other external source. All fees include GST.

For up to date fees information see the latest University Calendar, which can be found on the website at: www.calendar.waikato.ac.nz

International Students
The New Zealand Government and the New Zealand Universities have adopted a policy allowing new international PhD students to pay domestic fees from 1 January 2006, where the student’s research is being supervised by a leading researcher in the student’s area of study.

To hold domestic student status, international PhD students must be resident in New Zealand during their study, except for temporary absences both consistent with University policy and for the purposes of their research. It is the responsibility of chief supervisors and faculty/school postgraduate advisors to advise students of this policy in the first instance and liaise with the Postgraduate Studies Office regarding matters of concern and further clarification.

International PhD students with domestic student status cannot access the Student Loans and Allowances Schemes.

A student enrolled in a New Zealand university but remaining resident overseas does not have domestic student status.

Staff Fees Concession
It is University of Waikato policy that all full-time staff are entitled to apply for a staff fees concession. An application form is available in the i.Waikato section for staff on the university website.

It is essential that a staff member complete the form and have it signed off on an annual basis prior to re-enrolling. If the form is not completed and signed off the fees concession will not necessarily be applied.

2.1.8 Approval Process to Confirm Enrolment

MPhil
The initial research proposal, which must include an ethics statement, forms the basis for approval to enrol for an MPhil degree. There is no conditional period of enrolment during which the research proposal may be further developed and revised.

EdD/SJD
Approval to enrol in Part Two of the EdD/SJD qualification (the thesis component) is dependent on:

• Satisfactory completion of the coursework for Part One;
• Evidence of suitable professional skills;
• Submission of an acceptable full research proposal which must include ethical approval. (An outline of an acceptable full research proposal is included in the next section for PhD candidates.)
PhD

Confirmation of enrolment is based on:
• The development and submission of an acceptable, full research proposal;
• The submission of a favourable supervisors’ recommendation supported by the
departmental Chair and Dean (or nominee); and
• Evidence of ethical approval for the proposed research (or a statement confirming it is not
required).

Full-time students must apply for confirmation of enrolment within six months, and
part-time students within 12 months. In extenuating circumstances, candidates may apply
to the PGRC for an extension to complete the full research plan. Confirmation of enrolment
should not be considered automatic. The University of Waikato retains the right to
terminate an enrolment where sufficient progress has not been achieved.

In order to continue work on the PhD beyond the six to 12 month conditional enrolment
period, the candidate must be able to demonstrate the following, as appropriate to the
nature of the project:
• Satisfactory endeavour and application;
• Ability to conduct a detailed literature search and review;
• Acquisition of technical or other practical skills;
• Firm understanding of methodological and/or theoretical issues;
• Ability to communicate clearly, both orally and in writing and;
• Achievement of any special requirements set out in the original application.

The full research proposal should contain a:
• Working title;
• Statement of research;
• Outline of the significance of the topic;
• Literature review in a form consistent with practices of the discipline;
• Statement of the research questions/hypotheses;
• Description of methodology;
• Description and analysis of the method(s);
• Statement of resource requirements;
• Timetable for the project and thesis writing and;
• Statement concerning the requirement for ethical approvals and a full copy of any ethical
approval application and ethical consent where required.

It is the responsibility of the departments and supervisor(s) to advise candidates on ethical
matters and to ensure that any required approvals are granted before the research begins.
For information on obtaining ethical approval for research please see Section 2.3.

2.1.9 Reporting Progress

It is a requirement for continued enrolment in higher degrees of the University of Waikato
that regular progress reports are provided by the candidate, and signed by the supervisors,
Chairperson of the department, and the PGRC representative of the faculty/school.

The candidate, working with his/her supervisor(s), is responsible for ensuring that the
report is completed, signed by the relevant parties, and forwarded to the PGSO in a timely
manner. Completing these forms is an important opportunity to share and receive feedback on progress achieved, and to consider and plan for future achievements in a collegial environment.

The specific requirements for progress reports are as follows:

- The reports are required every six months following enrolment in MPhil, and confirmed enrolment in PhD and EdD/SJD (Part 2);
- Progress report forms are sent to each candidate a minimum of 14 days prior to the date of submission;
- Candidates can access the progress report forms via the Postgraduate Studies website (www.waikato.ac.nz/sasd/postgraduate);
- The progress reports pertain to progress over the previous six months and planned progress over the following six months;
- The candidate is responsible for completing the initial sections of the progress report and then forwarding it to the chief supervisor;
- All of the supervisors must sign the report to indicate that they have sighted the comments from the candidate and other supervisors;
- The supervisors are required to forward the progress report onto the Chairperson of the department who must comment and sign the form and;
- The Chairperson of the department must then forward the progress report to the PGRC representative in order to secure the final comment and signature required.
- The student is responsible for ensuring that completed forms are received by the PGSO by the due date.

A satisfactory progress report will be copied and forwarded to the candidate and the chief supervisor, while the original is placed into the candidates file.

An unsatisfactory report should address the reasons for lack of progress and propose a mutually agreed work plan. This will be copied and forwarded to the candidate, the chief supervisor and Chairperson of the department, who will then meet to resolve the issues that have been identified in the progress report. Once the PGSO is satisfied that steps are being taken, the original copy of the unsatisfactory progress report will be placed into the candidate’s file.

2.1.10 Changes of Enrolment Conditions

Formal approval is required for most changes which may become necessary regarding the details of the candidate’s enrolment.

*Minor Changes*
Any minor changes should be signalled in the six-monthly progress reports.

*Major Changes*
Any major changes should be signalled in a Change of Conditions form. The following are regarded as major changes:
- Change of supervisor(s);
- Change of department or faculty/school;
- Change of topic;
- Full/part-time enrolment status;
- Request for suspension or;
- Request for extension.
The Change of Conditions form is to be completed by the candidate, supervisor(s) in the case of change of supervisor(s), the chief supervisor, Chairperson of the department and Postgraduate Studies representative. The form must then be forwarded to the PGSO for approval from the PGRC.

It is essential that the Change of Conditions form is completed to ensure correct details are on the candidates file. Failure to file a Change of Conditions form appropriately or on time could lead to loss of resources, or the charging of incorrect fees.

Suspension
For either academic or personal reasons candidates may request a period of suspension, however, significant breaks may cause serious setbacks in progress. Candidates are able to apply for 12 months of suspension in total throughout their enrolment in a higher degree.

Retrospective suspensions are not viewed in a favourable light by the PGRC. These will only be approved in cases of extreme adversity.

Extension
For either academic or personal reasons candidates may request a period of extension which will be considered on its merits. Normally, extensions are granted when the thesis is very close to completion and more time is required for its physical preparation and presentation. Candidates are able to apply for 12 months of extension in total throughout their enrolment in a higher degree.

2.1.11 Withdrawal or Termination of Enrolment

Permanent Withdrawal
Candidates may withdraw from a higher degree programme at any time during their enrolment. Withdrawal within the first month of enrolment will result in a refund of fees, minus administrative costs. Withdrawal from a higher degree will only be completed once the PGSO has received formal advice from the candidate.

Termination of Enrolment
The PGRC may terminate the enrolment of a candidate who:
- Applies to withdraw completely from a higher degree programme;
- Fails to enrol or pay any tuition fees due;
- Fails to complete progress reports;
- Has not made satisfactory progress;
- Lacks available supervisory staff;
- Has not submitted or re-submitted a thesis on time;
- Has had the cancellation of his/her enrolment recommended by the University of Waikato Disciplinary Committee or;
- Fails to comply with any changes to enrolment or research practice approved by the PGRC (e.g., changes to supervisory panels, ethical considerations).
2.2 OFF-CAMPUS STUDY

The University of Waikato values its associations with industry, commerce and Crown Research Institutes, Centres of Research Excellence, and other Universities, both in New Zealand and overseas. Such associations provide stimulating and intellectually challenging opportunities and experiences for its research staff and students.

The University of Waikato is responsible for the academic programme and supervision of those enrolled in higher degrees, therefore must be closely involved with collaborating institutions to ensure candidates are making progress. Candidates will only be permitted to undertake research off-campus once the following criteria have been fulfilled:

- Data collection and examination of key material can only, or can best, be carried out off-campus;
- The resources of the collaborating institution are appropriate for and available to the candidate;
- The staff at the collaborating institution are able and qualified and will provide support for the candidate;
- The collaborating institution is able to provide a stimulating research environment and;
- The collaborating institution will provide University of Waikato supervisors with ready access to the candidate and the facilities used by the candidate;

At times candidates may be absent from the University of Waikato campus (therefore without supervision) for extended periods of time due to the requirement to study in libraries or museums or conduct field work. Candidates are encouraged to consider the possible disadvantages commonly associated with working off-campus in an unsupervised capacity. It is recommended that the supervisors assess the candidates’ ability to:

- Work independently;
- Maintain regular contact and;
- Access essential resources.

It is expected that the following matters would be discussed:

- Method and frequency for maintaining contact between candidate and supervisor(s);
- Objectives to be achieved in the exercise and reporting on those objectives;
- Resources required;
- People who could provide informal assistance to the candidate;
- Contacts, authorisation or letters of introduction that may be required;
- Whether the candidate has had adequate training in the methodology and/or equipment to be used and;
- Potential health and safety hazards and whether the candidate has been adequately briefed/trained where necessary, and has adequate equipment to minimise the identified risks.

It is advised that the candidate spend significant periods of time at the University of Waikato campus, which are agreed to by the supervisors and the candidate.

Contractual Arrangements

Formal contractual terms and conditions for a candidate to work within an external organisation and to receive support by way of a scholarship, a study award, access to facilities and other benefits must be established through the University of Waikato’s Research Office (UNILink). The candidate will normally be required to sign an agreement with the University of Waikato. This will include agreements on publication rights and ownership of intellectual property (IP), progress reports, and submission and examination of theses.
2.3 ETHICS, SAFETY AND CODE OF CONDUCT

2.3.1 University Policy
Researchers should participate in work which conforms to agreed ethical standards and which they are competent to perform in a manner which meets those standards.

2.3.2 Ethical Approval
In the application to enrol, the candidate must declare whether or not their research requires ethical approval. It is the responsibility of the departments and supervisor(s) to advise candidates on ethical matters and to ensure that any required approvals are granted before the research begins. A copy of the approved ethical application should accompany the full research proposal.

It is also the responsibility of the supervisor(s) to advise the student to include within the thesis acknowledgment of ethical approval that has been sought and granted.

Where research which has an ethical component is conducted overseas or in another institution, ethical approval must be sought both in New Zealand and overseas to ensure that any potential differences in cultural values are fully considered.

If substantial and/or significant change in research direction and/or thesis title occurs, candidates may need to seek new ethical approval.

2.3.3 University Ethics Committees
The University of Waikato has a Human Research Ethics Committee and an Animal Ethics Committee. Research involving human subjects, personal information (including personal records) or animals must be approved by the appropriate ethics committee before research commences.

**Human Research Ethics Committee (HREC)**
Researchers are responsible for identifying human research in their projects and the research must not commence until it has ethical approval from the HREC. Supervisors of postgraduate students are expected to take all reasonable steps to ensure compliance with the regulations, with particular attention to areas that might compromise research such as:
- Conflicts of interest;
- Relationships with potential research participants and/or;
- Potential risks to the well-being or cultural safety of research participants.

Applications for approval of human research must be submitted in the form prescribed for the relevant school, faculty, department or unit.

**Animal Ethics Committee**
Users of live animals for teaching, research or the production of biologically active agents have ethical and legal responsibility for the welfare of those animals.

This committee is responsible for:
- Ensuring that any experimental procedure involving live animals complies with the Animal Welfare Act 1999 and the University’s Code of Ethical Conduct for the Use of Animals for Teaching and Research;
- Initiating investigations into any suspected non-compliance with the Animal Welfare Act 1999 or the University’s Code of Ethical Conduct for the Use of Animals for Teaching and Research; and
- Arbitrating in disputes about use of live animals for teaching and research.
2.3.4 Changes in Ethical Requirements During Research
It is accepted that the direction of a research project may change. These changes should be discussed with supervisors before implementation and clearly signalled in the six-monthly progress reports as they may have a significant effect on the conduct of the research, and may therefore require a supplementary application for ethical approval.

The personal circumstances of a researcher or supervisor may also change during the course of research. Such changes may also have implications for the conduct of the research and whether a new or a supplementary application for ethical approval is required.

2.3.5 Disclosure

Potentially conflicts of interest
Disclosure of potential conflicts of interest is essential for the responsible conduct of research. Such disclosure must be made to the relevant authorities (funding or sponsoring agency) and the Chairperson of the relevant department or research centre within the University of Waikato. Any declarations that need to be made to external organisations must be made through UNILink and will require approval of the Deputy Vice-Chancellor.

Other compromising factors
A declaration should be submitted to the PGRC as soon as is practicable if information that might compromise the initiation or the continuation of higher degree research is identified by either the supervisor(s), the candidate, or by external parties.

Candidates and supervisors must declare any factors of which they are aware that might compromise the research, or the supervision of the research, such as:

- Conflicts of interest;
- Relationships with potential research participants;
- Potential risks to the well-being or cultural safety of research participants.

External advice of factors compromising research might arise if members of the University community not involved in the research, or an individual or party external to the University, becomes aware of information that appears to compromise the research, or the supervision of the research, on ethical grounds.

Once any such declaration is submitted to the PGRC, the PGRC will then determine:

- Whether the research methodology or practice should be modified to address the concern, and, if so, the nature of the modification;
- Whether the arrangements for supervision of the candidate should be altered, and, if so, the nature of that alteration;
- Whether the enrolment of the candidate should be terminated.

The individual or party who raised the concern is entitled to receive a response in relation to their declaration from the PGRC.

2.3.6 Safety

Health and safety in conducting research
This is of particular concern to the University of Waikato’s School of Science and Engineering, which has a well-developed health and safety framework for establishing policy and monitoring health and safety on campus and in the field. It is the responsibility of the supervisor to advise the student in this area. An Introduction to Health and Safety in the School of Science and Engineering is available from departmental administrators.
The School’s Codes of Practice for Health and Safety in the Field are available from departmental administrators as well as on the School’s web pages. Guides pertaining to hazard management and the safe handling of hazardous materials can also be accessed through the School of Science and Engineering’s web pages.

*Research involving New Organisms*

All work on new organisms must be carried out in approved containment facilities. It is the responsibility of the supervisor and laboratory manager of the containment facility to advise you of your responsibilities when working in these areas. Research in containment areas is conducted under specific approval from the Environmental Risk Management Authority, New Zealand (ERMA). You are responsible for adhering to these approval conditions, but again your supervisor will advise and guide you on these matters. Application must be made to ERMA if proposed research involves a new organism, whether imported or created, that is not already covered by existing approvals. More information can be found on the University’s School of Science and Engineering web pages or on ERMA's website: www.ermanz.govt.nz

2.3.7 Code of Conduct

It is a basic assumption that University researchers, both staff members and postgraduate students, are committed to the highest standards of professional conduct when undertaking and supervising research.

These standards include:

- Rigorous opposition to all forms of fraud, including misrepresentation and falsification of results;
- Observance of the highest standards of safety in relation to themselves, their co-workers and research participants;
- Maintenance of confidentiality where appropriate and full attribution of the sources of assistance and guidance;
- Acknowledgement of authorship of all published material.

Examples of misconduct in research include:

- Falsification of data;
- Misleading ascription of authorship;
- Other practices that deviate from those accepted within the research community.

For further information on ethical issues please read the Handbook on Ethical Conduct in Research which can be found on the University’s research web pages: www.waikato.ac.nz/research/unilink/uow/EthicalResearch_Hdbk.pdf.
2.4 SUPERVISION OF A HIGHER DEGREE

Every candidate must have a chief supervisor. The University of Waikato believes that candidates undertaking higher degrees should not be reliant on the advice and guidance of one supervisor only. Such a situation could place the student at some risk especially if the staff member concerned is absent for an extended period on leave or leaves the employment of the University of Waikato. It is therefore an important requirement that the chief supervisor be supported by the appointment of one or more co-supervisors.

A good supervisory relationship is the essence of a successful PhD programme. Ideally, a PhD will be seen in terms of both of its desired end result (the award of the degree) and the process by which that result is achieved. The process should involve open, honest and professional interaction between the student and supervisors, based on mutual respect, trust and good-will.

There is no single prescription for an ideal supervisory arrangement. It should, however, be viewed as an evolving partnership, in which an initial student/teacher relationship develops towards increasing equality as the project reaches its culmination in the production of the thesis.

At the outset of the project, it is important that all parties are clear about their expectations of each other. It should be accepted by all concerned that the early phases of work may lead to problems which will need to be worked through in a constructive manner if the project is to flourish. Although academic matters will be of primary concern, candidates and supervisors should be prepared to talk candidly about other issues affecting the candidate’s ability to make progress with the PhD.

In order to avoid misunderstandings, candidates and their supervisors may find it useful to draw up a written agreement or memorandum of understanding which can be referred to if difficulties arise, and which can be reviewed regularly in the light of changing circumstances. Such agreements would deal with the following:

- Frequency of meetings;
- Progress reports to be provided by the candidate;
- The nature, promptness and limits of feedback on written work;
- Involvement in presenting seminars on the research while in progress;
- Financial support, if any, to be available to the student once the tenure of any scholarship has ended;
- Target dates for various stages of the research; and
- Principles for establishing authorship of any resulting publications.

Note: Supervision is a specialised form of teaching that is recognised by the University of Waikato as being highly important. Responsibilities of supervisors are set out in this Handbook and accountability is expected. Departmental Chairpersons are expected to recognise the importance of supervision in workload models, and supervision should not be added to existing full workloads without compensation. To find out about becoming a chief supervisor or supervisor see Appendix 4.

2.4.1 Responsibilities of the PGRC Faculty/School Representative

Each faculty/school has an appointed PGRC representative who is expected to:

- Attend PGRC meetings and participate in discussions that take place in relation to policies and procedures for candidates and staff involved in postgraduate studies;
- Support candidates to ensure that progress reports are completed in a timely fashion and signed off by all concerned;
• Ensure that regulations outlined in the University of Waikato Calendar and processes and procedures outlined in the Higher Degrees Handbook are adhered to by candidates and staff; and
• Liaise with chief supervisors and PGSO staff at appropriate times in relation to progress reports and candidates’ supervision.

2.4.2 Responsibilities of the Chief Supervisor

The chief supervisor’s role is to provide academic advice and practical support to the candidate, from the development of the candidate’s research proposal through to deliberation of the examination. The chief supervisor is the main point of contact for the candidate and administrative staff. He or she will take responsibility for meeting all the obligations listed below and will convene meetings with other supervisors. It is the responsibility of the chief supervisor to advise the Chairperson of the department where disagreements have arisen between supervisors that may compromise the progress of the project. It is also the chief supervisor’s responsibility to nominate the examiners of the candidate’s thesis for appointment by the PGRC, to provide a report to the examiners, and to be present at the oral examination and examiner(s) deliberation in support of the candidate.

As a result of the responsibilities outlined above it is recommended that a chief supervisor have a maximum of six (6) candidates. This is to ensure that appropriate supervision is afforded to all candidates.

All supervisors are bound by the University of Waikato’s Staff Code of Conduct and Code of Ethics for Academic Staff as well as by the specific obligations listed below:
• Be present at work as required and to be absent from the workplace only with proper authorisation;
• Carry out their duties in an efficient and competent manner, and maintain specified standards of performance;
• Comply with lawful and reasonable employer instructions and policies and to work as directed;
• Respect the privacy of individuals and use confidential information only for the purposes for which is was intended;
• Neither use, nor allow the use of, University property, resources, or funds for other than authorised purposes;
• Incur no liability on the part of the University without proper authorisation;
• Maintain all qualifications (including registration and annual practicing certificates) necessary for the performance of their duties legally and efficiently;
• Not demand, claim or accept any fee, commission or benefit from any person or persons other than the University in payment for any matter or thing concerned with their duties and responsibilities, nor to accept any gift or favour from any source which could be seen as influencing a business relationship; and
• Avoid conflicts of interest.

2.4.3 Responsibilities of the Supervisory Panel

The supervisory panel should:
• Assist in integrating the candidate into the academic and social life of the department;
• Provide a collaborative research environment and encourage open communication;
• Ensure that meetings with supervisors operate in a constructive manner;
• Be sensitive to cultural, political and/or gender issues relating to the research topic or the candidate;
• Make clear from the outset how issues relating to joint publication of work arising from the candidate’s thesis are to be handled; and
• Not expect the candidate to work in the capacity of ‘technician’ or ‘secretary’ to the supervisors.

Staff may not supervise candidates with whom they have a close family or personal relationship. If a close emotional or other relationship develops, the Chairperson of the department must be informed so that appropriate alternative arrangements can be made to ensure that the professional nature of the supervision continues.

Note: It is the responsibility of the supervisor(s) to advise the student about including within the thesis acknowledgment of ethical approval that has been sought and granted.

2.4.4 Responsibilities of the Candidate

Higher degree candidates have a number of responsibilities. Candidates should accept that the degree requires them to work towards intellectual independence within a supportive supervisory environment. They should expect to take the lead in most matters pertaining to the project, adhering to the principle that theirs is the main responsibility for the conduct and progress of the research. Additionally, candidates must be prepared to ‘drive’ the project and to raise matters of concern promptly, without waiting for others to do so for them.

Candidates should also ensure that they are familiar with the regulations and procedures governing the higher degrees programmes.

The specific responsibilities of candidates are to:
• Commit adequate time and effort to the project;
• Display initiative in identifying and resolving problems relating to the research;
• Manage their work efficiently so as not to place unreasonable demands on supervisors;
• Be well organised and capable of setting and meeting deadlines for various phases of the research;
• Acquire any new skills required as part of the project;
• Maintain frequent and regular contact with the supervisors;
• Seek and accept in good faith advice from supervisors;
• Fulfil tasks required by the supervisors as part of the project;
• Complete the appropriate sections of the bi-annual progress reports as and when required;
• Meet the scholarly demands and professional standards required by their discipline;
• Start writing their thesis as early as is practicable;
• Ensure that all written work is of a high standard of expression and organisation;
• Present seminars and participate in the academic, professional and social life of the department; and
• Attend and present papers at conferences and publish sections of the work under the guidance of their supervisors.

It is essential that candidates accept that, just as it is a requirement of the supervisors to provide advice and criticism, it is necessary for them to listen when such advice and criticisms are offered. Ideally, this will take the form of constructive dialogue, but there will, inevitably, be times when this is a source of some tension. In cases where such dialogue is proving difficult or impossible, this must be addressed as soon as possible.
2.5 THESIS

2.5.1 Writing the Thesis
Candidates are strongly encouraged to begin writing up as early as possible, while still engaging in planning, data gathering and/or data analysis. This reduces the often daunting task facing the student if writing up is delayed until it is the only remaining task. The bibliography/reference list should be prepared and up-dated throughout, not left until the final writing up of the thesis.

2.5.2 Language
Theses will normally be written in English, but a candidate may submit a thesis written in Māori provided the candidate has sought and been granted prior approval. Candidates must give the PGSO six months notice if they intend to submit a thesis in Māori so that arrangements can be made for translation.

Candidates may submit a thesis in a language other than English or Māori only after permission has been granted by the PGRC. Such permission will normally be given only if the use of the language is appropriate to the topic of the thesis and examiners can be appointed who will examine in that language.

Theses submitted in any language other than English must include an English translation of the title page and abstract.

Theses submitted in any language are expected to conform to the normal standards of presentation (grammar, spelling, style) of written work in that language.

2.5.3 Format of Thesis
The format of the thesis should be agreed to by the department, supervisors and the candidate, during the early stages of writing. Drafts of all chapters should be submitted to the supervisors for comment. Reasonable and prompt feedback should be provided on substantive issues. Most supervisors also give feedback on style, grammar etc. however, candidates are encouraged to seek additional feedback from other readers.

The candidate’s written thesis will normally contain:
- A statement of intellectual ownership;
- An abstract;
- A table of contents;
- A table of diagrams/tables/illustrations (where applicable);
- A detailed description of the candidate’s research methods, findings and data and the overall conclusions of the thesis;
- A bibliography; and
- Glossaries of important words, phrases and keys to symbols (where applicable).

Illustrative materials (such as maps, computer disks and CD’S) may be submitted with the thesis. Such objects must either be bound with the thesis or placed in a pocket inside the cover. Extra large or bulky material may be bound separately as an appendix.

MPhil theses are limited to 50,000 words, PhD theses 100,000 words, and EdD/SJD theses 60,000 words. These word limits exclude bibliographies, footnotes and appendices.
2.5.4 Citing References

There are three principal methods of citing references in a text: footnotes, the author-date and the reference-number system. Consult your supervisor as to the method favoured in your subject area. There are particular rules for each, and it is important to be consistent in the application of the method you decide upon.

Footnotes may be used for purposes other than citing references, namely to provide cross-references, to acknowledge indebtedness and to explain or supplement material that is included in the text.

Bibliographic style is important, and considerable time will be saved if all the necessary data for each citation are collected at the time of consulting the works concerned. Various styles are acceptable; the important point again to remember is that having decided on a particular style, you should retain this style throughout the bibliography. There may be a preferred method within your subject area; check with your supervisor.

The University of Waikato library contains various authorities for consultation on styles of footnoting and bibliographies.

2.5.5 Inclusion of Published Papers

Published work or papers may only be included in a thesis if the published work:

- Was researched and written by the candidate;
- Fits into the thesis so that it forms part of a coherent whole;
- Does not include material which substantially duplicates other parts of the thesis.

Candidates wishing to include relevant papers they may have published previously and which are relevant to their higher degree research topic should include these papers as a separate appendix to the thesis if they fall outside the above parameters.

2.5.6 Presentation of Thesis

Candidates must comply with the Dissertation and Theses Regulations published in the current University Calendar which set out the University's requirements with respect to the submission and presentation of theses. These include requirements to be met for the final digital and/or print and binding formats of a thesis before the candidate is entitled to have the relevant degree formally conferred. A practical guide to these regulations, Writing and Submitting a Dissertation or Thesis at the University of Waikato, is available online at www.waikato.ac.nz/library/learning/g_thesis.pdf.

2.5.7 Submission of Thesis

A candidate may submit a thesis after the minimum time for the qualification in which they are enrolled. For those completing an MPhil the minimum time is one year full-time or two years part-time. For those completing a PhD or EdD/SJD, the minimum time is two years full-time or four years part-time. Candidates for higher degrees should normally agree with their supervisor(s) as to when their thesis is ready for formal examination.

The thesis is submitted to the PGSO and is accompanied by the completed Thesis Submission Form.
The Thesis Submission Form includes a declaration that the thesis has been reviewed by the chief supervisor and is considered ready/not ready for submission. If the chief supervisor considers that the thesis is not ready for submission, the reservations should be explained to the student and attached in writing to the Thesis Submission Form as a Statement of Reservations. The candidate will be required to certify that these reservations have been sighted by countersigning the Statement of Reservations.

Three soft-bound copies of the thesis (two copies of an MPhil thesis) should be taken to the PGSO, along with the completed Thesis Submission Form, ethics and library authorisation forms. A staff member from the PGSO will issue a receipt to acknowledge the submission of the thesis. Two copies of the thesis (one copy of an MPhil thesis) are then couriered to the external examiner(s). The extra copy is provided to the chief supervisor.

Where a thesis is used as a final report to a collaborating organisation, it is not forwarded to that organisation until it has been formally accepted in fulfilment of the requirements for the award of a research degree by the University.

Once submitted neither the thesis nor any part of it may be returned to the candidate or given to any persons, other than the external examiners, for any purposes whatsoever before the examination process is complete.

2.5.8 Acceptance of Thesis
Following examination of the thesis (and oral examination of the candidate if applicable), the thesis must be formally accepted as fulfilling the requirements of the degree sought. Final approval can be sought from the PGRC once the candidate has submitted two hard bound copies of the thesis to the PGSO, the thesis is lodged at the Australasian Digital Thesis Program, and the chief supervisor has signed them off.

2.5.9 Australasian Digital Thesis Program
The University of Waikato Library is a member of the Australasian Digital Thesis Program. The ADT Program has established a distributed database of digital versions of theses produced by the postgraduate research students at Australian and New Zealand universities. This includes theses prepared for the following degrees:

- PhD (Doctor of Philosophy)
- Professional Doctorates (e.g. EdD, SJD)
- MPhil
- Research Theses in Masters Degrees

Students are required to submit one copy of their completed thesis in digital format. Students can obtain assistance through the PGSO or the University Library.

2.5.10 Copyright
University staff and students have an obligation to respect and comply with copyright law, and the University has a strong commitment to ensure that copyright laws and licence agreements are complied with. The University website provides a collection point for documents that govern or advise on the use of copyright materials at http://www.waikato.ac.nz/copyright
2.6 INTELLECTUAL PROPERTY, ACCESS AND EMBARGOES

2.6.1 Intellectual property

Intellectual property (IP) relates to original works of authorship, technology, products, processes, designs, plant varieties, goodwill and trademarks. Although intangible, the law recognizes intellectual property to be just as much a form of property as land and housing. Thus intellectual property can be sold, leased, damaged and trespassed upon.

Since intellectual property is intangible, it is important that its scope and ownership be clearly defined to enable the legal rights of the owner to be enforced. This is made possible with patents, design and trademark registrations, plant variety rights, copyright protection, and recognition of ownership.

It is an important principle that theses should be public documents. Requirements associated with intellectual property should not be allowed to restrict public access to theses without a strong case being made.

The intellectual property incorporated in a thesis may contain contributions from many sources and situations. These can include input from staff members, use of University resources, and development by the candidate before enrolment for the degree programme and/or created during research carried out in the premises of, or with resources of, a Crown Research Institute or company.

University policy

The chief supervisor is responsible for identifying intellectual property. A candidate who knows or believes that he/she has created intellectual property should communicate this to the chief supervisor so that action can be taken. The UNILink Office should be advised as soon as possible so that until a decision has been made on ownership and rights, the entire matter of intellectual property should remain confidential to protect the rights to ownership and benefits to be derived from ownership.

Publication prior to the granting of a provisional patent is likely to prevent patenting of any research result. Staff should declare to the Deputy Vice-Chancellor, through the University Research Manager, the development of a patentable discovery so that legal advice on the options available can be obtained.

If a candidate or staff member brings to a project intellectual property over which his or her rights have been established, the individual should report this to the Chief Supervisor, Chairperson of the department and UNILink before the project begins. An agreement for use of the intellectual property will then be negotiated with its owner.

Scholarship or funding from any source external to the University of Waikato will not be recognised in relation to intellectual property unless contractual arrangements have been entered into.

If an outside person or body provides intellectual property to a candidate for use in the candidate’s university work (e.g. research to be reported in the thesis), that provision must be reported by the provider or candidate to the UNILink Office before that intellectual property is used. The University will then seek to establish an agreement with the provider for conditions of use.
Where intellectual property is created during the course of research carried out in preparation for presenting a thesis, it is normal practice for all contributors to be recognised as joint authors of resulting publications. The UNILink Office should be informed so that suitable arrangements can be made for protection of intellectual property during examination and lodgement of the thesis in the University of Waikato library.

### 2.6.2 Access and Embargoes

In keeping with world-wide academic practice, The University of Waikato endorses the principle that research theses are, by their very nature, available for public inspection. It is usually possible to write a thesis that can be made public based on research and data that may be confidential. Candidates and supervisors should design their research to be made public, if at all possible.

Nevertheless, the University recognises that in unusual situations, theses contain material that, for commercial and security reasons, should be withheld (embargoed) from the public for a period following the completion of the thesis.

The withholding of a thesis is an injunction against the release of the thesis for public consultation in the University of Waikato library and Australasian Digital Thesis Project. The request to withhold a thesis may be submitted by the student (with endorsement from the chief supervisor) or the chief supervisor. The request must clearly demonstrate that the thesis contains material of such a confidential or sensitive nature that its release to the public would do one of the following:

- Breach prior contractual arrangements with, or seriously damage the interests of external organisations connected with the candidates research;
- Endanger the confidentiality of material that might be the subject of an application for a patent, licence or registration by the candidate, the University of Waikato, or other interested parties; or
- Contravene legislation or threaten national security.

Once the need to withhold a thesis has been identified the appropriate university staff at the PGSO and/or UNILink should be contacted so that all options can be explored to minimise the extent of the restrictions on the thesis.

Candidates who wish to apply for an embargo need to request a form at the PGSO. Once they have completed the appropriate sections, a PGSO staff member will advise them as to whether they need to submit the form to UNILink or the PGSO. All applications are forwarded by the PGSO or UNILink to the appropriate signatories.

The normal maximum period that a thesis is withheld is two (2) years from the date on which the hardbound thesis has been submitted for final acceptance and confirmation of the student’s grade. A one-year extension to this limit will be granted only in the most exceptional circumstances, and where the lack of an extension would cause significant hardship to the author.

There are circumstances when the confidential/sensitive nature of the thesis research does not become clear until that research is near completion. For that reason, requests for an embargo may be made up to the time of submission of the thesis for examination. Applications will not normally be accepted after the thesis has been submitted.
2.7 THE EXAMINATION PROCESS

2.7.1 Summary
The Postgraduate Research Committee approves the appointment of at least two examiners for a PhD, EdD or SJD thesis, and one for an MPhil thesis. All examiners are external to the University and have no direct association with the candidate or the candidate’s research. At least one examiner will normally be external to New Zealand.

An oral examination is held for PhD, EdD and SJD theses. Oral examinations are not normally held for MPhil theses.

Examination criteria
Examiners are asked to provide written reports to assess whether the thesis:
• Demonstrates both a thorough knowledge of literature relevant to its subject and general field, and of the candidate’s ability to analyse the literature critically;
• Deals with a topic of sufficient range and complexity to meet the requirements of the higher degree;
• Comprises a sufficiently coherent investigation of the chosen topic;
• Displays mastery of appropriate methodology and/or theoretical material;
• Meets internationally recognised standards for the conduct and presentation of research in its field;
• Makes an original contribution to knowledge in its field and contains material suitable for publication in appropriate academic journals; and
• Whether any parts of the thesis are worthy of being the basis of a publication.

On the basis of these criteria, the examiner(s) recommend whether the thesis should proceed to oral examination (in the case of PhD, EdD and SJD degrees) or, rarely, whether an oral examination is required (in the case of the MPhil degree).

It is normally expected that the examiner(s) will provide a written report within three months of receiving the thesis and that the oral examination is completed as soon as possible after the PGSO receives the examiner(s) written report(s).

The oral examination
The purposes of the oral examination are to:
• Enable the candidate to demonstrate knowledge and understanding of the discipline or field of study, the appropriateness of methodologies and methods of analysis, and the validity of conclusions;
• Clarify any matters that the examiners regard as being unclear;
• Allow the examiners and candidate to discuss any amendments which may be required;
• Assist the candidate in understanding the examiners comments; and
• Assist the examiners to reach a decision about the quality of the thesis.

Outcome of the examination
A successful PhD, EdD or SJD thesis demonstrates the candidate’s ability to conduct independent, original research and to present the findings of that research to a professional standard. The doctoral graduate should be capable of conceiving, designing and carrying out high quality research in the area of their expertise without supervision.

A successful MPhil thesis demonstrates the capacity to critique research results to a high standard in a well-written thesis.
2.7.2 Nomination of examiners

Two months prior to the thesis submission date, the chief supervisor should nominate the examiners, in consultation with other supervisors. At the discretion of the chief supervisor, the candidate may be consulted about the nomination of examiners.

Supervisors are encouraged to take care in the nomination of external examiners in order to prevent:

- Polarised examiners reports;
- Delays in returning the examiners reports; and
- Non-production of examiners reports.

Prior to completing the official form for the nomination of examiners, the chief supervisor should obtain unofficial agreement from those being approached to act as examiners.

The New Zealand examiner (in some cases Australian) should be advised that there is an expectation to attend the oral examination. Both the New Zealand and overseas examiner should be advised that examiners’ reports should be completed within eight weeks of receipt.

All examiners must be external to the University of Waikato and must not be directly connected to the candidate or the candidate’s research. Examiners should be:

- Senior in experience to the candidate;
- Associated with an academic institution;
- Eminent and widely respected specialists in their research subject;
- A PhD or EdD/SJD graduate, or hold equivalent qualifications and be actively involved in scholarship and research in a field relevant to the research subject;
- Experienced with PhD or EdD/SJD supervision; and
- Reliable as an examiner.

2.7.3 The Written Examination

Examiners Role

Neither the thesis nor any part of it should be given to any other persons for any purposes whatsoever before the examination process is complete.

Each examiner is required to:

- Write an independent report on the thesis;
- Make a recommendation of assessment; and
- Send/email the report directly to staff at the PGSO.

An examiner should advise the PGSO if they feel they are not qualified to comment on aspects of the thesis, and this should also be signalled in the examiner’s report.

The examiner’s report should be submitted in three parts:

- Information that may be released to the candidate before the oral examination;
- Confidential information that should not be released to the candidate before the oral examination; and
- Questions for the oral examination – and whether these may be released to the candidate before the oral examination.

Within the report examiners are required to comment on the examination criteria outlined in the summary above.
An important part of the examiner’s report is the recommendation. This recommendation indicates whether the thesis should proceed to oral examination, is not acceptable or – the case of a doctoral thesis - should be accepted as fulfilling the requirements of an appropriate Masters degree, either the MPhil, MEd (Master of Education) or LLM (Master of Laws).

The examiners may signal that the thesis:

- Should proceed to oral examination, and does not require significant revisions;
- Should proceed to oral examination, but revisions are anticipated;
- Should not proceed to oral examination. Candidate should be asked to re-enrol and to undertake the major revisions indicated in the report and in due course re-submit the thesis for re-examination;
- Should not proceed to oral examination and should not be accepted for the award of a doctoral degree; or
- Is not accepted for the doctoral degree but is acceptable as fulfilling the requirements for the degree of MPhil/Med/LLM (subject to amendments of a minor nature, principally the correction of typographical errors if appropriate).

The reports will remain confidential and be presented for approval by the PGRC. Following approval of the examiners’ reports copies of the reports will be forwarded to the chief supervisor and candidate in accordance with the directions from the examiners.

The examiners should also include questions or topics for further exploration for the oral examination. The questions or topics provided by the overseas examiner will be put to the candidate by the New Zealand examiner at the oral examination.

Candidates have the right to see the written reports via their chief supervisor. The overseas examiner may elect to remain anonymous, but this is not an option for the New Zealand examiner who will normally attend the oral examination.

**Resolving divergent views**

Where the examiners are strongly divergent in relation to the recommendation to proceed to the oral examination the PGRC will appoint a third examiner, the mediating examiner. The mediating examiner will examine the thesis in order to determine whether the thesis should proceed to the oral examination or be revised by the candidate.

2.7.4 **Oral Examination**

Oral examinations are not a requirement for the MPhil, although may occur at the recommendation of the examiners.

The oral examination is organised by the chief supervisor after the examiners’ reports have been approved by the PGRC. Once the time and venue has been arranged, the chief supervisor is required to inform the PGSO at least two weeks before the examination is due to take place so a convenor, or chairperson, can be appointed.

The format of the oral examination will vary from case to case. Normally, it will include the following:

- A brief overview of the thesis by the candidate;
- Questions from the examiners on the substantive issues communicated to the candidate beforehand; and
- Other questions and free discussion.
Candidates and/or chief supervisors are entitled to request that the examination be conducted via teleconference or video link.

Candidates are entitled to invite whānau and support person(s) to attend the oral examination. It is imperative that appropriate protocols are adhered to throughout the oral examination. Once the oral examination has commenced those there in support must remain quiet so the examination can flow uninterrupted. Candidates may request individuals to leave if they are uncomfortable with their presence.

The chief supervisor must be informed well in advance if whānau or supporters will be in attendance. If there are any cultural protocols that the candidate would like to have observed, these must also be discussed and negotiated with the chief supervisor in advance so the convenor can be notified.

In the case of the thesis under embargo, only the convenor, chief supervisor, examiner(s) and the candidate are able to participate in the oral examination.

*Role of the Chief Supervisor*

Once the thesis has been approved to proceed to oral examination, the chief supervisor provides a written report which is sent to the examiner(s) to be taken into account by them at the oral examination. The report is written after consultation with the supervisory panel, and following the submission of the thesis, confirming:

- The work presented in the thesis is the candidates own work, and contributions made by others has been properly identified by the candidate;
- Factors which may have influenced the work of the candidate; and
- The candidate’s performance and quality of the thesis.

The chief supervisor is not an examiner, but is also expected to:

- Select a venue that is comfortable and situated in a quiet location;
- Participate fully in the oral examination as support to the candidate;
- Be present during the deliberation stage of the examination;
- Be available to discuss the chief supervisors report with the examiners; and
- Advise the convenor of any whānau or support people who may be in attendance at the oral examination.

*Role of the Convenor*

The convenor is a senior university academic appointed by the PGRC to chair the oral examination. The convenor is not an examiner, but is expected to:

- Check that the venue is suitable and that teleconferencing arrangements have been made if necessary;
- Ensure that the examination is conducted in a fair and proper manner;
- Ensure that the examiner’s report of the oral examination is received by the PGSO as soon as possible following the oral examination;
- Complete a convenor’s report where appropriate; and
- In exceptional circumstances, where the examiners are unable to agree on a recommendation, the convenor should report the circumstances to the PGRC.
The Result
Following the oral examination and the deliberation stage involving the convenor and the chief supervisor, the examiner(s) will reach consensus on the recommendation for the thesis, and the attending examiner will prepare the final report. The examiner(s) shall recommend one of the following options, that:

- The thesis be accepted in its present form as fulfilling the requirements for the degree of PhD or EdD/SJD(Part 2);
- The thesis be accepted as fulfilling the requirements for the degree of PhD or EdD/SJD(Part 2), subject to the candidate undertaking minor amendments and/or correcting typographical errors as required by the examiner(s);
- The thesis be accepted subject to the candidate completing substantial amendments, provided that these amendments are not so substantial as to necessitate re-submission (but more substantial than required under option 2) and are completed within ten (10) weeks of the oral examination;
- The thesis is not acceptable in its present form and should be returned to the candidate, who may revise it and re-submit it for examination after a re-enrolment for a minimum period of six months;
- The thesis not be accepted for the degree of PhD or EdD/SJD(Part 2), but be accepted as fulfilling the requirements for the degree of MPhil, MEd or LLM; or
- The candidate has failed to meet the required standard and that no degree be awarded.

Resolving divergent views
In exceptional circumstances examiners participating in the oral examination may be unable to agree on a recommendation. The convenor will report the circumstances to the PGRC, who will decide whether the degree should be awarded and other action necessary.

The PGRC has the power to appoint an external mediator who will examine the thesis, consider the written reports of the examiners and convenor then recommend that the thesis:

- Pass;
- Be revised and resubmitted to the mediator as the sole examiner; or
- Fail.

Once the result has been received by the PGSO, the information will be forwarded to the candidate.

Many candidates are required to make revisions, which is part of the process of being a higher degree student and means the candidate will achieve a higher quality of work than was initially submitted.

Resubmission of thesis
Where the thesis is not awarded a pass, the candidate will be invited to rewrite then resubmit the thesis after a minimum of six months. The maximum time available for resubmission is twelve months. Once the thesis has been resubmitted it will be examined as per the usual examination process, preferably by the same examiners. Candidates are only entitled to resubmit once.

The candidate is only entitled to complete one oral examination. Therefore, if the candidate completed an oral examination following the submission of the initial thesis the result will be generated by the examiners’ reports only.
2.8 AWARD OF THE DEGREE AND GRADUATION

Final approval can be sought from the PGRC once the candidate has submitted two hard bound copies of the thesis to the PGSO, the thesis is lodged at the Australasian Digital Thesis Program, and the chief supervisor has signed them off. When the PGRC has accepted the report of the examiners and recommended the award of the degree, the requirements of the degree are complete.

Successful candidates will be sent an application form for the conferment of the degree. Graduands have the option of graduating at one of the University of Waikato graduation ceremonies, or of having their degree awarded in absentia at a meeting of the University Council.
SECTION 3: RESOLVING PROBLEMS AND DISPUTES

3.1 A GUIDE

The University of Waikato is committed to providing an environment conducive to scholarship through excellence in teaching, research and service to local, regional, national, and international communities. It aims to provide a stimulating environment for both staff and students. To help facilitate resolution of problems and disputes the University has developed a guide to handling complaints and appeals which can be found in the postgraduate studies section of the University website (www.waikato.ac.nz/sasd/postgraduate).

3.2 CONCERNS/COMPLAINTS

Candidates are encouraged to raise concerns with the relevant staff member using a direct and informal approach in order to reach a resolution through dialogue. If it is not possible to raise the matter directly with the staff member, then the candidate may contact the Chairperson of the department, his or her direct supervisor, or the manager of Student Support Services, who should initiate dialogue with the candidate and staff member(s) concerned to assist in reaching agreement and eventual resolution.

Where a concern has not been resolved by initial discussions, or it is too serious to be treated as a concern, then a formal written complaint may be sent to the Dean or Director of the faculty or school. Where the complaint concerns the Dean or Director, it should be forwarded to the Deputy Vice-Chancellor.

If a complainant remains dissatisfied with the outcome an appeal can be lodged with the Deputy Vice-Chancellor or nominee within 28 days of the date of the letter notifying the student of the outcome of the complaint.

3.3 APPEALS

Appeals against processes or decisions of the PGRC, including a decision not to award a degree, may be made. However, no appeal can be lodged in relation to recommendations from the examiners, or in relation to inadequacy of supervision. (Any issues regarding supervision should be addressed directly at the time with the supervisor, Chairperson of the department or faculty/school PGRC representative, or be resolved as part of a complaints process.)

Grounds for appeal against a decision not to award a degree or allow resubmission could include:

- Procedural irregularities in the conduct of the examination; and/or
- Documented evidence of prejudice or of bias of the members of the PGRC.
An appeal should be addressed to the Chair of the Postgraduate Research Committee who will seek to resolve the issue. If the matter is not resolved, the appeal will be forwarded to the Vice-Chancellor who will appoint a person or panel to investigate and provide a report. The Vice-Chancellor will then make a decision based on the report and other relevant information.

Appeals should contain the following information:
- Brief summary of the matter or decision being appealed;
- Full name of complainant;
- Current contact details of the complainant (including email contact);
- Statement of the details that are relevant to the matter;
- List of attached relevant documents (if appropriate); and
- Signature of the complainant and the date.

### 3.4 STUDENT ADVOCACY SERVICES

Members of the Waikato Students’ Union (see section 5.1.12) have the option of using a free advocacy service through this organisation. The Post Graduate Student Association (see section 5.1.8) is also available for consultation and support and can be contacted through the university website www.waikato.ac.nz/pgsa or via email at pgsa@waikato.ac.nz.
SECTION 4: RESOURCES AND SUPPORT FOR STUDY

4.1 ACADEMIC SUPPORT

Academic support is provided by the supervisor(s) and faculty, school or department staff. Additional assistance for students is provided by Student Learning Support (SLS).

4.1.1 Student Learning Support

Student Learning Support (SLS) aims to help students develop, at every level and across disciplines, the tertiary literacy skills and competencies needed to become self-directed, successful learners. SLS can assist students with such learning needs as interpreting assignment requirements, essay writing, exam preparation, and much more. Students can book individual appointments with a learning tutor, attend specialized learning workshops, or just drop in for quick advice on a specific learning problem. All students are welcome in Student Learning Support.

Student Learning Support can be found at ITS.G.11 (next to the Gate 1 car-park) or contacted at:
Tel: + 64 7 838 4466 ext 4657
Fax: + 64 7 838 4573
Email: slsadmin@waikato.ac.nz
Website: www.waikato.ac.nz/pathways/learningSupport

4.1.2 PhD Workshops

Workshops for PhD students offer support and guidance at the start, middle and final stages of the course of study for a doctoral degree. The first orientation workshop offers an introduction to postgraduate research at the University of Waikato, as well as guidance on preparing a full research proposal and obtaining ethical approval. Subsequent workshops provide support and guidance on the early stages of thesis writing when data collection is well underway and, finally, on thesis completion, submission and examination.

For further information on workshop content and dates, students should contact:
The Postgraduate Studies Office (PGSO):
Tel: +64 7 838 4466 x 6279
Fax: +64 7 838 4130
Email: postgrad@waikato.ac.nz

4.2 LIBRARY SERVICES

4.2.1 The University Libraries

The University Libraries comprise not only the buildings on campus but virtual access to library resources throughout the world. The Law Library is within the Central Library building, which is located at the centre of the campus, and the Education Library is located in building TL in the nearby School of Education.

Introductory tours and essential tutorials are offered intensively during the first few weeks of each semester. Tutorial and tour timetables are available on the Library’s website and at Information Desks.
Subject Librarians provide individual specialist research assistance in accessing resources and managing information. Students are encouraged to make contact with their Subject Librarian upon enrolment.

*The Libraries can be contacted at:*

**Central Library**
Tel: + 64 7 838 4466 ext 8189  
Email: library@waikato.ac.nz

**Education Library**
Tel: + 64 7 838 4466 ext 4530  
Email: libyeduc@waikato.ac.nz

**Law Library**
Tel: + 64 7 838 4466 ext 8628  
Email: libylaw@waikato.ac.nz  
Website: www.waikato.ac.nz/library

### 4.2.2 Hamilton City Libraries

Outside the University of Waikato there are free public library services made available to all Hamilton city residents by the Hamilton City Council.

*To contact the Hamilton City Central Library:*

Tel: + 64 7 8386826  
Fax: + 64 7 8386858  
Email: libadmin@hcc.govt.nz  
Webmail: www.hpl.govt.nz/
4.3 FUNDING AND FINANCIAL SUPPORT

4.3.1 University of Waikato Scholarships and Awards
Each year the University of Waikato offers a number of its own Postgraduate Scholarships and Awards. Application forms are available from the Scholarships office or online (www.waikato.ac.nz/scholarships) throughout the year.

The Scholarships Office advertises these and many other funding opportunities in its monthly Scholarships Update e-newsletter. To join the mailing list, e-mail ‘subscribe’ to scholarships@waikato.ac.nz.

4.3.2 Travel to conferences
Students often enquire about possible funding support to assist them in attending conferences related to their research.

Faculties, schools and departments may offer travel assistance for this purpose and application details will be available from the appropriate faculty, school or departmental office. Some external institutions and organisations also offer general financial support. It is the responsibility of the student to investigate and apply for this type of funding.

A good source of information about funding for conferences is the Scholarships Update e-newsletter described above.

4.4 OFFICE RESOURCES

Faculties, schools and departments should make provision for candidates to have the following resources available to them:

- Space and furniture;
- Equipment;
- Internet and email access;
- Computing facilities (including internet access and email);
- Travel and fieldwork support;
- Office supplies and;
- Statistical consultancy and packages.

Information Technology Services (ITS)
The central ITS Help Desk provides support to the University for information technology related matters, including the Information Commons in the Library, while consultants within the schools offer support to their individual areas.

The ITS Help Desk can be contacted at:
Tel: + 64 7 838 4466 ext 4008
Fax: + 64 7 838 4338
Email: help@waikato.ac.nz
Website: http://help.waikato.ac.nz
SECTION 5: OTHER STUDENT SERVICES AND ON CAMPUS FACILITIES

5.1 STUDENT SERVICES

5.1.1 Accommodation
The Accommodation and Conference Services Office exists to provide help in locating accommodation for students. The staff can provide lists of all available accommodation to interested parties. The Accommodation and Conference Services Office can also arrange temporary accommodation for international students upon arrival in Hamilton.

*The Accommodation and Conference Services Office can be contacted at:*
Tel: +64 7 838 4084
Fax: + 64 7 838 4058
Email: accom@waikato.ac.nz
Website: www.waikato.ac.nz/sasd/acso/contact.shtml

5.1.2 Careers and Employment Centre
The Careers and Employment Centre exists to discuss career prospects with students.

*The Careers and Employment Centre can be contacted at:*
Tel: + 64 7 838 4466 x 6264
Email: careers@waikato.ac.nz
Website: www.waikato.ac.nz/sasd/careers/contact.shtml

5.1.3 Chaplain
The University’s ecumenical chaplain is available to all students, providing a listening ear and a point of contact for anyone wanting to explore issues related to faith or spirituality.

*The Chaplain can be contacted at:*
Tel: +64 7 838 4466, ext. 8576
Fax: +64 7 838 4282
Email: chaplain@waikato.ac.nz
Website: www.waikato.ac.nz/go/chaplaincy
A Catholic priest also works at the University part-time, and conducts Mass at regular intervals throughout the academic year.

5.1.4 Childcare
Campus Crèche was established in 1973 as a parent co-operative and over the years the crèche has grown from a small centre to a large organisation with four centres that cater for children from 3 months to 5 years. The crèche is open from 7.30 am to 5.30 pm Monday to Friday.

*The crèche can be contacted at:*
Tel: + 64 7 838 4034
Fax: + 64 7 838 4739
Email: creche@waikato.ac.nz
Website: creche.waikato.ac.nz/
5.1.5 Disability Support Service

The Disability Support Service works with the rest of the University to remove barriers to learning for students with disability, and to ensure students’ learning requirements are being met through the provision of information, support, services and equipment. Prospective students with disability should contact the Disability Support Service well in advance of commencing their studies to ensure that the appropriate supports are able to be put in place.

_The Disability Support Service can be contacted at:_
Tel: + 64 7 838 4719  
Fax: + 64 7 838 4282  
Email: disability@waikato.ac.nz  
Website: www.waikato.ac.nz/disability

The Access Room

The Access Room is a study place and rest area for students with disabilities. Specialised computer and other equipment to assist with study is available. The Access Room is located in the Student Services Building.

5.1.6 International Student Support

The Waikato International student support team advises and assists international students by identifying their needs, helping them find solutions, and directing them to appropriate services on and off campus. This includes personal issues, academic support, medical and travel insurance, student visa and permit requirements, orientation, accommodation, and general concerns.

International students must have student visas and study permits and are expected to be enrolled full-time to maintain their full-time student visa status. All enquiries concerning applications for student visas and study permits should be directed to the nearest New Zealand Embassy or High Commission or the New Zealand Immigration Service (see below).

Orientation programmes are run for all new international students prior to beginning their studies and regular information sessions are run throughout the academic year. During office hours we have a student lounge with computer access for international students’ use.

_The Waikato International student support team can be contacted at:_
Tel: +64 7 838 4439  
Email: international@waikato.ac.nz  
Website: www.waikato.ac.nz/international/

Language proficiency

To attend the University of Waikato, if English or Māori is not your first language, you will be asked to provide evidence of competence and understanding of written and spoken English. If you have not reached the level required, you may take courses in English at the University of Waikato Pathways College, which offers General English and English for Academic Purposes.

_The Waikato Pathways College can be contacted at:_
Tel: + 64 7 858 5600  
Fax: + 64 7 858 5694  
Email: pathwayscollege@waikato.ac.nz  
Website: www.waikato.ac.nz/pathways
Code

The University of Waikato has agreed to observe and be bound by the Code of Practice for the Pastoral Care of International Students published by the Minister of Education. Copies of the Code are available on request form this institution or from the New Zealand Ministry of Education website at http://www.minedu.govt.nz/goto/international.

Immigration

Full details of visa and permit requirements, advice on rights to employment in New Zealand while studying, and reporting requirements are available through the New Zealand Immigration Service, and can be viewed on their website at http://www.immigration.govt.nz.

Eligibility for Health Services

Most international students are not entitled to publicly funded health services while in New Zealand. If you receive medical treatment during your visit, you may be liable for the full costs of that treatment. Full details on entitlements to publicly-funded health services are available through the Ministry of Health, and can be viewed on their website at http://www.moh.govt.nz.

Accident Insurance

The Accident Compensation Corporation provides accident insurance for all New Zealand citizens, residents and temporary visitors to New Zealand, but you may still be liable for all other medical and related costs. Further information can be viewed on the ACC website at http://www.acc.govt.nz.

Medical and Travel Insurance

International students must have appropriate and current medical and travel insurance while studying in New Zealand.

5.1.7 Māori Student Support

MAI ki Waikato

MAI ki Waikato is a forum open to all Māori students living in the Waikato region who are enrolled or interested in enrolling in a doctoral programme. Workshops include such topics as refining research and writing skills, ethics, methodologies, funding, supervision, publishing, writing proposals, starting and finishing a thesis and presenting research.

For more information contact the Pro Vice-Chancellor Māori office
Tel: +64 7 858 5175
Email: maikiwaikato@waikato.ac.nz
Website: www.waikato.ac.nz/maikiwaikato

Te Toi o Matariki

The Te Toi o Matariki – Māori Graduate Excellence Programme is for the purpose of supporting Māori students enrolled in graduate studies at the University of Waikato.

For more information contact the Pro Vice-Chancellor Māori office
Tel: +64 7 858 5175
Email: pvcmaori@waikato.ac.nz
Website: www.waikato.ac.nz/tautoko/
5.1.8 Post Graduate Student Association (PGSA)
The PGSA is an independent association that represents and supports postgraduate students at the University of Waikato. The association works with the University to consider a range of issues pertaining to postgraduate studies and is represented on the PGRC.

The PGSA can be contacted at:
Email: pgsa@waikato.ac.nz
Website: www.waikato.ac.nz/pgsa

5.1.9 Recreational Services
One of the great things about studying and working at the University of Waikato is the unique campus lifestyle, where sport, recreation and having fun is encouraged. There are a large number of recreational opportunities on the campus such as the fitness trail, orienteering, tennis/netball courts, sports fields, and the Don Llewellyn Pavilion.

The best way to find out about the Recreational Services is the website www.waikato.ac.nz/living/sports_rec.shtml

The University Recreation Centre
The University Recreation Centre (U Rec Centre) is your campus gym and caters for all fitness requirements with cardio and weights rooms, aerobics classes, squash courts and gym space for social sports.

The U Rec Centre can be contacted at:
Tel: + 64 7 838 4177
Fax: + 64 7 838 4153
Email: unirec@waikato.ac.nz
Website: www.unirec.co.nz/

5.1.10 Student Counselling Service
Counsellors can help with a range of problems by helping you find solutions that suit you. This can be done by talking, or by the use of art or action methods. In all cases you are entitled to be treated with respect. We have four trained counsellors, including a full-time Māori Counsellor, to help you whenever something is interfering with your ability to study.

The Student Counselling Service can be contacted at:
Tel: + 64 7 838 4201
Fax: + 64 7 838 4282
Email: student_services@waikato.ac.nz
Website: www.waikato.ac.nz/sasd/health

5.1.11 Student Health Service
The Student Health Service is located in the Student Services building (opposite the Recreation Centre) and is staffed by four medical practitioners, four nurses and a Practice Manager. The Student Health Service is open between 8.30am and 5.00pm on weekdays throughout the year. During examination periods the Student Health Service is open until 6.00pm on weekdays and from 8.30am-5.30pm on Saturdays for examination-related issues only.
The Student Health Service can be contacted at:
Tel: + 64 7 838 4037
Fax: + 64 7 838 4706
Email: medcent@waikato.ac.nz
Website: www.waikato.ac.nz/sasd/health

5.1.12 Waikato Students’ Union

The Waikato Students’ Union (WSU) is an incorporated society and a member of the New Zealand University Students’ Association (NZUSA). It is governed by an elected executive, who take care of the day-to-day business of representing its members’ interests to the University and the wider community and promoting educational, social, cultural, and sporting life on campus.

The WSU is situated in the Student Union Building (SUB). Office hours are 8.30am to 4.30pm Monday to Friday.

The WSU can be contacted at:
Tel: 07 856 9139
Email: wsu@wsu.org.nz
Website: www.wsu.org.nz
5.2 OTHER ON-CAMPUS FACILITIES

5.2.1 Academy of Performing Arts
The WEL Energy Trust Academy of Performing arts hosts music concerts, theatre and dance performances, art and photography exhibitions, festivals, and balls. www.waikato.ac.nz/academy

5.2.2 Alumni Association
The Alumni Association offers a life-long link to the University for all graduates, staff and friends of the University. Membership is automatic when you graduate and it is free. The Alumni Office also sells University of Waikato clothing and memorabilia which can be purchased from the office in the B Block annex. www.waikato.ac.nz/alumni

5.2.3 Banks
The National Bank and ASB Bank both operate full branch services on campus. They are located near the Student Union Building and the bus stop. There are three automatic teller machines (ATMs) located outside the shops and one located in front of Bennett’s Bookshop.

5.2.4 Bookshops
Bennett’s University Bookshop is located centrally between the Library and L Block. Vol. 1 Bookshop is a second hand bookshop located on Knighton Road. This is where you can purchase second hand text books or sell your old text books second hand.

5.2.5 Waikato Print
Waikato Print is located in the basement of the Student Union Building. Waikato Print offers photocopying, binding, laminating and other services. It also sells computer disks & course readings.

5.2.6 Campus Pharmacy
The Campus Pharmacy is located in the basement of the Student Union Building. It also sells stamps, post bags and envelopes.

5.2.7 Food retailers
There are a number of food outlets available on campus, including cafeterias located at the campus shops, the Oranga Centre, the School of Management, the School of Education, and on Hillcrest Road.

5.2.8 Travel
STA Travel offers great savings for any travel students may wish to embark on, both domestically and internationally. To qualify for the discounted airfares, you must apply for an International Student Identity Card (ISIC). Application forms for this may be picked up from STA Travel. You must have the completed form and a passport-sized photo stamped by the University of Waikato. Then take the form, photo and fee to STA Travel to receive your discount card.

STA Travel can be contacted at:
Tel: + 64 7 856 1300
Fax: + 64 7 856 1305
Email: waikutouni@branch.statravel.co.nz
Website: www.statravel.com/
APPENDICEs

APPENDIX 1: SPECIALIST HIGHER DOCTORATES

The following are classed as Higher doctorates:

- Doctor of Laws – LLD;
- Doctor of Literature – DLit; and
- Doctor of Science – DSc.

Higher doctorates of the University are the most advanced degrees offered by the University. They are awarded on the basis of highly original and meritorious published work, usually carried out over a number of years. These degrees are awarded for work which is not carried out under academic supervision.

Further information about the requirements for these degrees is available on request from the Deputy Vice-Chancellor or the PGSO. Alternatively information can be found in the University of Waikato Calendar and the website http://calendar.waikato.ac.nz/

APPENDIX 2: THE POSTGRADUATE RESEARCH COMMITTEE

The PGRC is comprised of the following:

- Deputy Vice-Chancellor or nominee – currently the Pro Vice-Chancellor (Postgraduate Research and Supervision) - who is Chairperson;
- A representative from each of the faculties/schools who has been nominated by the Dean and appointed by the Board of Studies;
- The Manager - Postgraduate Studies;
- The Secretary appointed by the Manager - Postgraduate Studies;
- A Student Representative.
APPENDIX 3: APPLICATION CHECKLIST

Application Checklist:

Candidates Name:  
Department:  
Chief:  
Supervisor:  

Please use this list in order to check that you have completed all the steps that are required when applying for a higher degree:

All candidates must complete the following:

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<tr>
<td>Completed application form, signed by the candidate</td>
</tr>
<tr>
<td>Signatures of all appropriate personnel (supervisor(s), Chairperson of the department, PGRC rep)</td>
</tr>
<tr>
<td>Verified copies of academic qualifications/transcripts</td>
</tr>
<tr>
<td>Initial proposal (or full proposal for MPhil candidates)</td>
</tr>
<tr>
<td>Reference list</td>
</tr>
<tr>
<td>Statement of ethics</td>
</tr>
<tr>
<td>Letters of reference</td>
</tr>
<tr>
<td>Personal curriculum vitae</td>
</tr>
</tbody>
</table>

International Candidates must complete the additional steps as well:

<table>
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<tr>
<td>Evidence of English language proficiency</td>
</tr>
<tr>
<td>Translated qualifications/transcripts (if applicable)</td>
</tr>
</tbody>
</table>
APPENDIX 4: BECOMING A SUPERVISOR, CHIEF SUPERVISOR OR CONVENOR

Becoming a supervisor

In order to become a supervisor it is expected that the applicant will:
- Have a PhD/EdD/SJD or equivalent qualification;
- Be an active researcher at the University of Waikato or other research-based organisation;
- Hold a permanent appointment as an academic member of staff at the University of Waikato;
- Take part in professional development courses offered by the PGRC in relation to supervision of higher degree candidates;
- Complete the application form and attach a CV outlining publications and research undertaken; and
- Seek out signatures required as indicated on the application form.

Becoming a chief supervisor

In order to become a chief supervisor it is expected that the applicant will have:
- Been on the supervisory panel for at least two successful PhD/EdD/SJD candidates;
- Been approved by the PGRC on account of examination of theses and/or overseeing major research projects;
- A permanent appointment as an academic member of staff at the University of Waikato; and
- Taken part in professional development courses offered by the PGRC in relation to supervision of higher degree candidates.

Becoming a convenor

In order to become a convenor it is expected that the applicant will have:
- a background in Higher Degree research supervision and examination;
- experience in chairing meetings where decision-making is required;
- an independent approach to the oral examination.

You cannot convene an oral examination if you are:
- employed by the same department as the candidate;
- a member of the candidate’s supervisory panel;
- well-known to the candidate.