

DOCTORAL EXAMINATIONS

NOTE

Examiner Communication

Once the thesis has been lodged for examination, there must be no direct communication between the student or supervisors and any of the examiners. All communication with examiners will be conducted through the GRS.

Practice-Oriented Examination Process

The following sections refer to the processes for format one and format two. A separate section outlining the requirements for format three Practice-Oriented research is located on pages 128-131.

Examination Timeframe

Examiners are asked to provide their reports within 8 eight weeks of receiving the thesis for doctoral examinations and that the scheduling of the oral examination takes place within one to two months of receipt of all the examiners' reports. Normally, the examination process and determination of a final outcome takes up to three to four months. Students should note that this timeframe is a guideline only and that the examination process may extend past this period. The GRS maintains contact with the examiners to monitor progress.

Students may contact the GRS to enquire about the progress of the examination. Students should be aware however, that no information (verbal or written) will be given about the recommendations of the examiners until such time as deliberations on the outcomes of the examination process have been completed; this would normally be provided at the end of the oral examination.

Graduation Timeframe

Students should also be aware that, in order to graduate at one of the University's graduation ceremonies, the examination process and consideration of recommendations by the University Postgraduate Board must normally be complete at least six weeks before the ceremony, including the completion of any amendments.

Given the timeframes noted above, students wishing to graduate at a particular graduation ceremony should aim to submit their thesis five to six months prior. It is important to note that there may be delays at any stage of the process and the GRS does not guarantee a student will be able to graduate at a particular ceremony.

Practice-Oriented

The process for the examination of practice-oriented work is similar to that outlined as follows. However, there are differences in the processes required. A separate section highlighting the differences is included at the end of this section.

Enrolment During Examination

Students will be enrolled throughout the examination process. When a student's enrolment period ends and they have submitted their thesis for examination, then they will be enrolled in a four month examination paper with a nil fee.

Appointment of Examiners

Form PGR11 - Appointment of Examiners

Requirements

Three months before a thesis is likely to be ready for examination students should alert their primary supervisor so that the appointment of examiners can be arranged.

Doctoral theses are normally assessed by two examiners, one New Zealand examiner and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than three doctoral theses. The New Zealand examiner may be an AUT examiner who has no conflict of interest. Both examiners may be international if a suitable New Zealand examiner is not available.

Examiner Nomination

Note: *A confirmation of candidature reviewer may be appointed as an examiner for that student's examination should it be determined that there is no other conflict of interest.*

Examiners are nominated by the primary supervisor, in consultation with the supervisory team, and should be informally approached regarding their ability and willingness to examine at the time the thesis is expected to be submitted. Examiners are required to submit evidence of their examination experience (for example, current curriculum vitae). Availability for participation in the oral examination should also be established at this stage.

Students may initiate with their primary supervisor and/or Faculty Associate Dean (Postgraduate), a discussion as to the range of possible examiners. Students may also indicate in writing the name of any person whom they believe should not be appointed as an examiner, giving reasons. The Faculty Associate Dean (Postgraduate) or the supervisors may also initiate this discussion. The overall process of appointment of examiners should not result in the student being given the names of the examiners finally recommended. Care must always be taken not to jeopardise the integrity and independence of the examination process.

Adjunct Staff

Adjunct staff who are appointed as an examiner for a research component will be treated as an external examiner.

Conflict of Interest

Normally, no examiner should have been a supervisor for the student at any stage nor have had any input or involvement in the research. It is highly recommended that

supervisors do not overuse individual examiners. A Conflict of Interest Protocol is available on the AUT website:

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW)
<https://sdw.aut.ac.nz>

Examiners' Experience

All examiners should normally have experience in the discipline and or methodology of the thesis being examined, and have international standing. The parameters outlining international standing include, but are not limited to:

- Journal publications (or equivalent) and the quality of the journal;
- Current relevant research and scholarship in the broad topic and/ or Methodology(s) used;
- Recognised academic or scholarly impact (on public or social policy);
- Doctoral qualification or equivalent.

Note: *Professional Doctorates may have an examiner appointed, in exceptional circumstances, who is an expert within a specialist field of practice who may not hold a doctoral qualification.*

Formal Appointment

Once the recommended examiners are approved by the relevant faculty committee and ratified by the University Postgraduate Board, the Graduate Research School (GRS) will formally invite the examiners to confirm their willingness to act in this role and their ability to provide a report within the specified timeframe (usually eight weeks from receipt of thesis). Examiners are provided the details of the student, supervisors and research title and asked if they have a conflict of interest.

It is expected that the formal invitation from the GRS takes place prior to the thesis being submitted and with sufficient time to call on reserve examiners, or to arrange new examiners if the original nominees are unable to undertake the role.

Examiners are advised that their identity will be disclosed to the student and primary supervisor one week prior to the oral examination.

In the event of a delay of more than six months in the lodgement of the thesis for examination, the primary supervisor should reconfirm the examiners' availability and inform the GRS who will notify the examiners of the delay.

Convenor

At the time that the examiners are approved by the University Postgraduate Board, the GRS will start the process to appoint a Convenor to Chair the examination. The Convenor must be neutral (in the sense that they will not have expertise in the subject being examined and usually be located in a different faculty from the student). The Convenor will accept overall responsibility for ensuring that the examination is fair to

the student concerned, whilst at the same time meeting the expectations of the Board, the University and the examiners.

A Convenor is a member of the Professoriate or a senior member of staff who is fully conversant with University regulations and normally has:

- Been recommended by the Faculty;
- Had multiple supervisions with successful completions ;
- Had experience as a doctoral examiner;
- Maintained their eligibility to be a supervisor by attending regular supervisor workshops ;
- Completed the Convenor workshop and observations required.

Payment of Honoraria

An honorarium may be paid to external examiners. The normal amount is approved annually by the University Postgraduate Board. On receipt of the report from each examiner, the GRS will arrange for payment of the honorarium, if applicable.

Key Points to Note When Considering the Appointment of Examiners

Staff Members

Where a student is also a member of staff, all examiners are to be external to the University. If a staff member is allied or professional they may have an internal examiner appointed where there is no conflict of interest and it is agreed by the Associate Dean (Postgraduate) in consultation with the Dean of the Graduate Research School.

117

Reserve Examiner

While a reserve examiner is not required; a reserve examiner should be considered. This can shorten delays where an original examiner becomes unable to participate at any stage of the examination or an additional examiner is required. The reserve examiner should normally be external. The reserve examiner should normally be informally approached to take part in the examination where required. The GRS will send a formal invitation.

Mentor Examiner

It is good practice that a 'mentor examiner' be appointed to guide first time examiners through the process. The examiner mentor is to be an AUT staff member and is not required to read the thesis but is required to answer questions on the examination process. The faculty should notify the mentor that they have been appointed when the examiners are approved.

Internal and External Examiners

An external examiner is defined as a person who is not employed as a member of staff of AUT at the time when invited to examine the thesis. An AUT staff member who has left the University would still be considered 'internal' for up to three years. AUT

doctoral students can examine, however they should not normally be appointed for up to three years after graduation.

Confidentiality/Embargoes

Form PGR16 – Application for Embargo

Where an embargo has been approved all examiners will be required to sign a confidentiality agreement prior to the thesis being sent to them.

Students should normally apply for an embargo with their PGR9- Confirmation of Candidature form. However, they may also apply to have an embargo for their thesis/exegesis at the time of lodgement for examination by using form PGR16 – Application for Embargo.

It is important to note that, due to the additional administration involved in processing confidential material, there may be a delay in the examination process while the University waits for a signed confidentiality agreement from all examiners unless the request is submitted with the PGR11- Appointment of Examiners form, prior to submission.

Notification of embargoes subsequent to the dispatch of the thesis for examination will not result in appropriate confidentiality agreements being arranged with examiners. Please also refer to the 'Confidential Material' section on page 80 for guidelines and processes.

Submission for Examination

Form PGR12 – Lodgement of Thesis for Examination

PhD students will normally be expected to submit for examination within four years of their first enrolment, and professional doctorate students are expected to complete the thesis component within three years, unless an extension request has been lodged and approved by the University Postgraduate Board. The maximum timeframe for completion is normally six years.

A student must lodge one digital copy of the thesis for examination with the faculty/school postgraduate office, accompanied by an electronic copy of the completed PGR12 'Lodgement of Thesis for Examination' form. If examiners require a hard copy of the thesis, the examiners will print their own copy and, where applicable, be reimbursed printed costs. Lodgement of the thesis and form need to be signed off by the student's supervisors and approved by the Associate Dean (Postgraduate), or delegated authority. All copies are then forwarded to the GRS for examination.

Declaration of Suitability for Examination

The supervisory team and Associate Dean (Postgraduate), or delegated authority, are required to declare that the thesis is of a suitable standard for examination. This relates to the presentation of the thesis, including appropriate structure/format,

legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication of the quality of the work. The University will normally not proceed with the examination of a thesis considered not to be in a suitable form for examination.

A checklist for supervisors that covers all aspects of what should occur for the submission process is available on the GRS website.

Refer to the Postgraduate Research Tab in the Student Digital Workspace (SDW) <https://sdw.aut.ac.nz>

Submission Against Supervisor Advice

It is important to note that a student has the right to request that the thesis be examined, even though the supervisor(s) may not believe it to be of a suitable standard. Such instances must be clearly identified on the lodgement form, which must have statements from the supervisor(s) and the student outlining the circumstances attached to it.

Where the Faculty Associate Dean (Postgraduate) or delegated authority is not prepared to sign off for examination, this should also be noted on the PGR12 along with an explanation of the reason. In such circumstances the GRS will consult with the Dean of the Graduate Research School on appropriate action.

119

Attestation of Authorship

On the first page after the table of contents, students should attest and sign, certifying the original authorship of the thesis, a declaration. The style and reference for this can be found on page 108.

Note that, for format two, co-authorship needs to be declared. Refer to attestation of co-authored works on page 109.

Turnitin

In order to check for potential unoriginal content, improper citation, or potential plagiarism, it is compulsory (from January 2018) that theses and dissertations except those presented in Te Reo Māori, be submitted to Turnitin, or equivalent, prior to submission for examination. Students should discuss the Turnitin report with the primary supervisor prior to submission. A section has been included on the PGR12 Lodgement for Examination (PGR12) form for supervisors to indicate that this has been completed.

Workshops will be provided for supervisors through the Supervisor Workshops offered through the GRS's Researcher Development unit; supervisors can email supervisor.workshops@aut.ac.nz to register.

Note: Turnitin is available for research submissions through the PGMe Organisation on Blackboard. It is important that students use this version rather than any other version of Turnitin available through other course organisations available to students from previous enrolments. The PGMe instance of Turnitin allows research students' to submit their work without information being stored within the Turnitin database. If Turnitin is used from other areas in Blackboard a copy will be saved on Turnitin's database.

Dispatch

Note: Theses will not be sent for examination if there are any outstanding fees.

Once the thesis has been received and processed by the GRS then the Examination team will send the thesis out to examiners. Examiners will receive a link to download the thesis. If an examiner requires a hard copy, the examiners will print their own copy and, where applicable, be supplemented printing costs as part of the honorarium payment. The examiners are also sent a copy of the University's briefing pack for examiners and informed of the date their reports are due.

The GRS will notify students and their supervisors once the thesis is sent.

Examiners' Reports

Each examiner is asked to examine or consider the thesis and present an independent report to the GRS. Each examiner is asked to comment on:

- The overall performance of the student in relation to peers on comparable programmes;
- The appropriateness of research methodology used;
- The student's original contribution to knowledge in his/her chosen discipline or field of study/practice;
- The depth and breadth of coverage of the subject matter concerned;
- The presentation of the thesis;
- The quality of the knowledge and skills (both general and subject specific) demonstrated by the student.

Examiners' reports are treated as strictly confidential and, when all have been received (and not before), anonymised copies will be distributed to all members of the Examination Panel. There will be no discussion between the examiners, supervisor(s) and the student prior to the oral examination. Occasionally, the Convenor or the Dean of the Graduate Research School may contact the examiners to clarify points raised in the reports.

All examiners' reports will normally be released to the student at a pre-meeting, one week prior to the oral examination.

Note: Where there is no clear agreement on the provisional outcome of the

examination, an additional examiner may be appointed and the thesis sent for further examination.

Examiners' Recommendations

Examiners are required to provide a written report and provisional recommendation and return these to the Graduate Research School. There are a number of possible outcomes from the examination process and the Examination Panel are required to identify the one recommended as the most appropriate for the student.

- Outcome 1:** **That the student be awarded a doctoral degree;**
- Outcome 2:** **That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor or nominee;**
- Outcome 3:** **That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) as appropriate;**
- Outcome 4:** **That the student be required to revise and resubmit for further examination within a specified time;**
- Outcome 5:** **That the thesis is not of an acceptable standard and the degree not be awarded;**

Oral Examination

The Convenor is responsible for overseeing the arrangements for the oral examination in conjunction with the GRS.

Pre-meeting for Oral Examination

In order to ensure the student is familiar with the format of an oral examination, a pre-meeting will be held with the Convenor, supervisor(s) and student, one week prior to the actual examination.

At least one of the supervisors will be required to attend the pre-meeting and be available afterwards to discuss the examiners' reports with the student.

At this meeting the Convenor will explain the oral examination process to the student, disclose the identity of the examiners and provide anonymised copies of the examiners reports. Normally, these will not be made available outside this meeting. However, where a pre-meeting occurs less than one week prior the reports will be emailed to the student and supervisors separately.

Primary Supervisor's Report

Form PGR23– Primary Supervisor Report

Where special circumstances exist, that examiners should be made aware of, the primary supervisor should provide a report. This will be discussed with the Convenor at the pre-meeting for the oral examination.

Oral Examination Process

Form PGR11 – Appointment of Examiners

Form PGR13 – Oral Examination Panel Report

Note: *The timetabling of the oral will only be scheduled around the availability of the student, examiners, Convenor, and primary supervisor.*

Students will be required to present in person for an oral examination. However, if there are extenuating circumstances as to why a student is unable to present in person, then the primary supervisor will be required to apply to the University Postgraduate Board for an exemption. This should be done at the time of submitting the PGR11 form.

The purpose of the oral examination is to:

- Examine the student's original contribution to knowledge in their chosen discipline or field of study/practice;
- Examine the student's critical judgement and understanding;
- Distinguish between the student's contribution and any contributions from other sources to the thesis;
- Enable the student to coherently and competently defend their thesis.

Normally, the scheduling of the oral examination takes place within one to two month of receipt of all the examiners' reports. The oral examination panel normally consists of a Convenor and all examiners, with at least one New Zealand examiner present (either in person or via video-conference). Video/ teleconferencing will be arranged through the GRS.

The Convenor will chair the oral examination, ensuring that the questions raised in the examiners' reports are put to the student during the examination. A discussion between the Convenor and examiners will determine the order of questioning and who will present the absent examiner's questions will occur prior to the student being invited into the room. The Convenor will not interfere with the questioning and will not comment on the student's thesis.

Role of the Supervisors

At least one of the supervisors will be required to attend the oral examination, providing points of clarification when necessary as requested by the Convenor and to provide collegial support for the student. The GRS will invite all members of the

supervisory team to attend the oral examination to provide support for the student. If neither supervisor is able to attend the examination due to exceptional circumstances, the Associate Dean (Postgraduate) must nominate a faculty representative to attend in their place.

Students may invite friends or family as support. However, they will not be permitted to be present in the examination room.

Outcome

At the conclusion of the oral examination, the Panel will attempt to reach a consensus on the final recommendation. If the Panel reaches agreement, the Convenor will complete the PGR13 and write a brief report on the oral examination and submit this report along with the summary recommendation to the GRS for the next meeting of the University Postgraduate Board.

As mentioned on page 121, the possible outcomes are:

Outcome 1: That the student be awarded a doctoral degree

This does allow the student to address any typographical errors and minor editorial matters.

Outcome 2: That the student be awarded a doctoral degree subject to the student making minor amendments only (as identified by the examiners) to the satisfaction of the primary supervisor or nominee;

These include more than superficial editorial amendments.

Normally, minor amendments take up to one month.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary. When these required amendments have been completed to the satisfaction of the nominee(s) specified in the Convenor's summary, that person will forward a Form PGR14 to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

Outcome 3: That the student be awarded the doctoral degree subject to the student making amendments (as identified by the examiners) to the satisfaction of the primary supervisor and/or examiner(s) as appropriate;

These include more than minor amendments and can include rewriting a chapter reorganising material in the thesis, improving

or clarifying an argument, omitting or deleting sections of the thesis.

Normally, amendments take up to six months.

Such amendments are to be made to the final copy of the thesis. The student will be advised what amendments are necessary.

When these required amendments have been completed to the satisfaction of the nominee(s) specified in the Convenor's summary, that person will forward a Form PGR14 to the Graduate Research School confirming that all the corrections have been completed satisfactorily. The Graduate Research School will then notify the University Postgraduate Board and recommend to Academic Board the award of the degree.

Outcome 4: That the student be required to revise and resubmit for further examination within a specified time;

This outcome means the student does not meet the criteria for examination:

- There is limited or no internal consistency;
- More data is required;
- There are methodological issues;
- Multiple chapter changes;
- One or more of the above may include an in-depth re-writing of the literature review.

The examiners may recommend that the thesis be revised and resubmitted either:

- In their reports; or,
- As a result of the oral examination.

In the first instance the Dean of the Graduate Research School or nominee/Convenor will contact the examiners and seek consensus (where they are not unanimous) and the revisions will be agreed to. The oral examination will be held after the revisions have been completed.

In the second instance the revisions will be recorded in the examination. On resubmission, the examiners will be asked to assess whether a second oral examination will be required.

Students will be given the opportunity to proceed with the oral examination if they wish.

Normally, revisions take up to twelve months.

Outcome 5: That the thesis is not of an acceptable standard and the degree not be awarded;

Should all examiners recommend that the thesis be failed, the oral examination will still proceed in order to give the student the opportunity to defend their thesis.

In this situation the thesis cannot be resubmitted for the same degree. In consultation with the examiners, and with the permission of the University Postgraduate Board, a revised thesis may be submitted for a lesser degree. Where it is recommended that the degree not be awarded, and no re-examination is permitted, the examiners shall prepare an agreed statement of deficiencies of the thesis, and the reason for their decision, which can be forwarded to the student through the University Postgraduate Board.

Recommendation for the Award of the Degree

Where recommendations and reports are unanimous, the University Postgraduate Board accepts recommendations; where these are not unanimous the Board:

- Accepts a majority recommendation (where the majority includes external examiner recommendations); or
- Accepts the recommendations of external examiners.

125

If the Examination Panel is unable to reach agreement on the outcome of the examination process, the Convenor will seek approval from the University Postgraduate Board to proceed with an alternative action (including further assessment of the thesis) in order to resolve any impasse.

Amendment Submission

Form PGR14 – Amendments

The student will be advised what amendments are necessary, verbally and in writing. Where clarifications are needed on the required amendments, the student or primary supervisor may contact the GRS. When the required amendments have been completed to the satisfaction of the nominee(s), specified in the Convenor's summary, that person will forward a PGR14 – Amendments form, to the GRS confirming that all the corrections have been completed satisfactorily.

Amendments are to be made to the final copy of the thesis. The GRS will then notify the UPB and recommend to Academic Board the award of the degree.

For outcome 3, amendments can be submitted for sign off no more than twice. Where amendments have failed to be successfully completed after the second submission,

the outcome recommendation will be rescinded and the thesis will be deemed as not of an acceptable standard and the degree not awarded.

Release of Information

Recommendations on the outcome and/or amendments to the thesis, either by the examiners or the Examination Panel, will normally be advised to the student and supervisor(s) at the conclusion of the oral examination.

The determination of the University Postgraduate Board will be conveyed in writing to the student by the Graduate Research School. The University Postgraduate Board will recommend that Academic Board approve the awarding of degrees to those students who have fulfilled all graduation requirements.

Examiners will be asked to return their copies of the thesis. Occasionally an examiner will ask to keep a copy of the thesis. Such requests will be passed on to the student after the examination process is complete.

It is the practice of the University that the outcome of the student's degree be formally acknowledged to the examiners by the Graduate Research School.

Revise and Resubmit Process

Form PGR20 – Revise and Resubmit

Note: *Students entering the revise and resubmit process from 1 June 2019 to 31 December 2019 may opt to have an assessor, and from 1 January 2020 there will be no assessor process during the revise and resubmit process.*

Outcome

Students must be able to complete the changes for the revised thesis within the timeframe agreed by the University Postgraduate Board as recommended by the examiners. This will normally be for a period of up to 12 months. If this is not possible, the student may not be awarded the degree.

Process for Revision

The purpose of the revision period is to complete the revisions as defined by the examiners. During this period students will be enrolled and supervised to act as an independent researcher.

The Associate Dean (Postgraduate) will oversee the resubmission process against an agreed plan. The supervisors are responsible for ensuring the required revisions have been made by the student. The student and supervisors will be sent a PGR20 – Revise and Resubmit Doctoral form outlining criteria where the examination criteria have not been met and detail the revisions required.

If required, an experienced supervisor (who may be external from the Faculty) may be

appointed, with expertise in methodology and/or area of scholarly inquiry, to work with the supervisory team. The following is required:

- An agreement which details a plan with specific milestones and timetable for resubmission;
- Meeting schedule, is to be signed by all parties and sent through the Faculty Postgraduate Committee to the University Postgraduate Board.;
- Any deviation to the agreed plan must be discussed with the Associate Dean (Postgraduate) and reported to the University Postgraduate Board.

The student will be required to re-enrol and pay fees for the period agreed to for the revisions to be undertaken.

The normal support the student will receive through the resubmission includes a schedule of meetings between the Associate Dean (Postgraduate) and/or supervisor and the student:

- Where a six month resubmission is decided, monthly meetings are required;
- Where a twelve month resubmission is decided, two-monthly meetings are normally required;
- Where the student is not meeting the milestones detailed in the plan the student's candidacy will be discontinued, and a DNC grade will be entered;
 - A student not meeting their milestones in the agreed plan will receive a final warning after the first set of milestones have not been met
- A student is required to submit a PGR8 Progress Report every three months, however these may increase in frequency as determined by the Associate Dean (Postgraduate). The PGR8 should detail any unsatisfactory progress, where applicable;
- The Associate Dean (Postgraduate) will provide monthly verbal updates to the University Postgraduate Board.

Process for Resubmission

Following the completion of the revisions, prior to re-examination, the normal doctoral submission process will be followed, e.g. completion of a PGR12 form (see Submission for Examination details on page 118).

Types of Re-Examination

There are a number of types of re-examination:

1. A re-examination of the thesis after revision and the holding of an additional oral examination;
2. The thesis only to be re-examined after revision;
3. An additional oral examination (without the need to revise or resubmit the thesis);
4. The holding of a different form of examination to test the student's knowledge.

Re-Examination

Once the revisions are successfully completed, the standard examination processes should be followed, in the same manner as the first examination. At the discretion of the University Postgraduate Board, the revised thesis may be sent to those examiners wishing to re-examine. Where an original dissenting examiner declines to re-examine, another examiner will be appointed. This examiner may be the reserve examiner appointed for the original examination. Where examiners are unable to agree on an outcome for the second examination the University Postgraduate Board may consider appointing additional examiners or a moderator.

For students whom a revise and resubmit outcome was determined at the oral examination, the examiners will determine if a subsequent oral examination is required or if the examination of the thesis only is sufficient. For students whom a revise and resubmit outcome was determined during the writing of the examination reports of the thesis will be required to undertake an oral examination.

The student will be permitted to submit the thesis for re-examination only once. Examiners will be informed that there will be no option to recommend a further revise and resubmit.

The Convenor for the initial oral examination will normally be re-appointed and provided with an update that the revisions had been made on re-submission by the Graduate Research School.

Final Outcome

A student who has been required to revise their thesis may not have a further outcome of revise and resubmit. The outcome must be either a pass or fail. A pass grade can be awarded with amendments, which need to be completed within the allocated timeframes – see pages 123–125 for amendment timeframes.

Where examiners recommend that a student be awarded a fail grade will be given the opportunity to request an oral examination if they wish. Students who are not awarded the doctorate may be awarded a lesser degree, refer to page 125 'Outcome 5'.

Examination of Practice-Oriented Research

In addition to previously stated examination processes, the examination of creative works requires further points of consideration stated below.

Three to six months prior to the creative examination the supervisors and Postgraduate Head are to meet with the Graduate Research School Examinations Officer to discuss the logistics of the examination. The following is to be discussed and confirmed:

- What form the examination will take;
- Scheduling, including viewing of the work and oral examination;
- Confirmation of the examiners (The Appointment of Examiners form –PGR11,

- having obtained sign off from the Head of School);
- The School's PhD programme leader is to be included in all communications;
- Nature of Practice-Oriented Examinations.

The creative research examination may take one of two forms:

- Where the artefact or other approved output is sent to the examiners, along with the exegesis. (In such instances the examination will be managed in a similar way to traditional theses);
- Where the examiners are required to attend a performance/exhibition in person.

Appointment of Examiners – Practice-Oriented

Form PGR11 – Appointment of Examiners

The primary supervisor should informally approach examiners approximately six to nine months prior to the expected date of submission regarding their ability and willingness to examine. The supervisor should also discuss the following with the examiners:

- That they may be required to be present for the exhibition/performance;
- Tentative timeframes for the oral examination;
- Advise that they will be required within one to four months to attend the oral examination by video conference.

129

Doctoral theses are normally assessed by two examiners, one New Zealand based examiner, and one international examiner. At least one of the examiners must be experienced in doctoral examinations, having examined more than three doctoral theses.

In exceptional circumstances one may appoint more international examiners but a thorough justification will be necessary. All examiners must attend an exhibition/performance in person.

Once the examiners have been formally approved, the Graduate Research School coordinates with the examiners a timeline for the examination as well as organising any travel and accommodation arrangements.

At this point, there must be no further contact with the examiners from the supervisors and student.

Submission of the Exegesis – Practice-Oriented

Form PGR12 – Lodgement of Thesis for Examination

A student must lodge one digital copy of the doctoral exegesis for examination with the faculty postgraduate office, accompanied by an electronic copy of the completed PGR12 'Lodgement of Thesis for Examination' form. Lodgement of the exegesis and form need to be approved by the Associate Dean (Postgraduate), or delegated

authority. The electronic copy of the thesis and PGR12 form are then forwarded to the Graduate Research School for examination.

There are two options for the submission of the exegesis.

Option 1: Where the exegesis is completed prior to examining the practice.

The exegesis will be submitted at least four weeks prior to the examination. This is the current 'normal' submission process.

The examination will normally commence with the viewing of the work. The student will normally be present to provide clarification when necessary. The primary supervisor may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and be given three weeks to write their reports which will be provided to the student and supervisors one week prior to the oral examination.

Option 2: Where a reflection and final refining of the exegesis follows the examined exhibition or performance.

Note:

- *This option requires sign off approval by the student's supervisors and the degree Programme Leader.*
- *The student is considered to be under examination throughout this entire process.*

An exegesis summary document will be provided to examiners at least four weeks prior to the examination of the practice. This document, of approximately 3000 words, will comprise an abstract, outline of the research aims and significance, key literature and methodology and may be in the form of an exhibition catalogue.

The examination will normally commence with the viewing of the work. The student is required to be present to provide clarification when necessary. The primary supervisor may attend the exhibition/performance to provide collegial support for the student.

After the work has been viewed examiners will return home and the exegesis will be submitted within three months. Once the examiners receive the exegesis they will be given three weeks to complete their reports which will be provided to the student and supervisors one week prior to the oral examination

Pre-meeting for Creative Works

Student:

The Convenor is responsible for overseeing the arrangements for an oral examination in conjunction with the Graduate Research School.

In order to ensure the student is familiar with the format of the examination, a pre-

meeting will be held with the Convenor, primary supervisor and student, one week prior to the exhibition/performance and the identity of the examiners will be disclosed.

A further pre-meeting will be held one week prior to the oral examination where the examiners reports will be provided to the student and supervisors. At this meeting the Convenor will explain the oral examination process to the student.

Examiners:

The Convenor will meet with the examiners prior to the viewing of the work to discuss and outline the oral examination process.

Outcome and Recommendations of the Performance/Exhibition

If the Examination Panel is unable to reach agreement on the outcome of the oral examination process, the Convenor will seek approval from the University Postgraduate Board to proceed with other courses of action (including further assessment of the exegesis or creative work) in order to resolve any impasse.

Recommendations on the outcome and/or amendments, either by the examiners or the Examination Panel, will normally be advised to the student and supervisor(s) at the conclusion of the oral examination.